

2010 FEB 17 PM 2: 26

JEANNE HICKS, CLERK

Heather Figueroa

BY: \_\_\_\_\_

YAVAPAI COUNTY ATTORNEY'S OFFICE  
JOSEPH C. BUTNER SBN 005229  
DEPUTY COUNTY ATTORNEY  
255 East Gurley Street  
Prescott, AZ 86301  
Telephone: 928-771-3344  
[ycao@co.yavapai.az.us](mailto:ycao@co.yavapai.az.us)

IN THE SUPERIOR COURT OF STATE OF ARIZONA

IN AND FOR THE COUNTY OF YAVAPAI

STATE OF ARIZONA,

Plaintiff,

v.

STEVEN CARROLL DEMOCKER,

Defendant.

Cause No. P1300CR20081339

Division 6

STATE'S RESPONSE TO DEFENDANT'S  
MOTION TO PRECLUDE LATE  
DISCLOSED WITNESSES AND  
EXPERTS AND DISMISS DEATH  
PENALTY AS SANCTION

The State of Arizona, by and through Sheila Sullivan Polk, Yavapai County Attorney, and her deputy undersigned, hereby submits its Response to Defendant's Motion to Preclude late disclosed witnesses and experts and dismiss death penalty as sanction. The State of Arizona's Response is supported by the following Memorandum of Points and Authorities.

MEMORANDUM OF POINTS AND AUTHORITIES

The June 22, 2009 disclosure order was for the State to disclose everything of a factual nature in the State's possession as of that date. *Ariz. R. Crim. P.*, Rule 15.6(a) mandates that each party has a continuing duty to make additional disclosure of new or different information as it is discovered. In the Minute Entry dated June 3, 2009, the Court acknowledged that "[t]he State has a continuing obligation to make disclosure in a timely fashion." The state cannot be

1 ordered to disclose items under Rule 15.1(b) that it does not yet have in its possession. *See*  
2 *Ariz. R. Crim. P.*, Rule 15.1(b); *State v. Newell (Milagro)*, 221 Ariz. 112, 210 P.3d 1283 (App.  
3 2009). Rule 15.6(b) allows on-going disclosure up to 30 days before trial. Only when  
4 disclosure is anticipated to be made after that time is the disclosing party required to notify the  
5 court and other parties of the date the disclosure will be available. Rule 15.6(c) provides that,  
6 unless otherwise permitted, the final deadline for disclosure is at least seven days prior to trial.  
7

8 The State has and will continue to work diligently to make sure that evidence and  
9 witnesses are disclosed according to the Rules of Discovery.

10 In *State v. Tucker*, 157 Ariz. 433, 759 P.2d 579 the Arizona Supreme Court addressed  
11 the issue of the State's failure to make proper disclosure of witnesses.

12 Defendant Tucker was arraigned for one count of first degree Murder on August 27,  
13 1984. In October 1984 the Defense provided the State with a list of potential defenses. The  
14 trial was set for August 13, 1985. Defense counsel requested a list of witnesses from the  
15 prosecutor. After two weeks the Defense had not received the requested list from the  
16 prosecutor and promptly filed a motion for its disclosure. The court granted the motion and  
17 ordered the State to disclose its witnesses by July 5, 1985. The State failed to provide the list  
18 to the Defense. The Defense requested sanctions against the State for its failure to disclose  
19 the list of witnesses. On July 15, 1985 the State provided the Defense with its list of  
20 witnesses pursuant to a second order to disclose issued by the Court.  
21  
22

23 The Defense objected to the list of witnesses because they believed the State had  
24 provided a list of everyone who was mentioned in the police reports. The list was provided  
25 approximately one month before trial. The Defense argued that it could not interview the 29  
26 witnesses listed in time and thus did not have time to adequately prepare for trial. The State

1 argued that they disclosed "everybody to prevent being accused of hiding witnesses" and  
2 because they were unsure of the accuseds defenses and the issues that might require rebuttal.  
3 The trial court ruled that the State's disclosure was not improper and "that the list was not  
4 made in bad faith."

5 The Court of Appeals upheld the trial court's ruling:

6 "However, the Constitution does impose on the prosecution a due process  
7 obligation to disclose exculpatory evidence that is material on the issue of guilt or  
8 punishment. *Brady v. Maryland*, 373 U.S. 83, 83 S.Ct. 1194, 10 L.Ed.2d 215 (1963); *United*  
9 *States v. Bagley*, 473 U.S. 667, 676-684, 105 S.Ct. 3375, 3380-85, 87 L.Ed.2d 481 (1985).  
10 Under this doctrine, the defendant is denied a fair trial only if there is a reasonable  
11 probability that, had the exculpatory evidence been disclosed, the result of the proceeding  
12 would have been different. *Bagley*, 473 U.S. at 685-686, 105 S.Ct. at 3385.

13 Under the reasoning of *Brady* and its progeny, Tucker was not denied a fair trial by  
14 any nondisclosure or untimely disclosure of witnesses. Tucker does not argue, nor do we find  
15 any evidence in the record, that any of the witnesses were the source of exculpatory  
16 evidence. Indeed, each of the arguably untimely-disclosed witnesses, and especially  
17 Burwell<sup>1</sup>, provided incriminating testimony. Therefore, the State had no constitutional duty  
18 to disclose any of these witnesses, so any untimely disclosure or nondisclosure did not  
19 violate constitutional precepts."

20 The Court of Appeals was disturbed by the State's violation of the "spirit of Rule 15  
21 by failing to respond to defense counsel's written request for disclosure, by disregarding the  
22

23  
24  
25  
26 <sup>1</sup> Burwell was disclosed during the course of the trial. She testified regarding statements the Defendant made to her and that she overheard the Defendant make to others. The Court ruled her testimony was admissible since the Defendant had prior knowledge of the statements that Burwell would be testifying about. The court stated that Burwells testimony may have been a surprise, the content of her testimony was not.

1 trial court's order to provide a list of witnesses by a certain date, and by finally disclosing a  
2 witness list no more specific or helpful in identifying persons who would testify than the  
3 previously disclosed police reports. However, as much as we condemn the prosecutor's  
4 behavior in this case, we are unconvinced that Tucker suffered any prejudice as a result of  
5 this violation."

6  
7 The Defense in the case at bar has continually attacked the State for untimely  
8 disclosure. Unlike the prosecutor in *Tucker*, the State has made every effort to comply with  
9 Rule 15 or at least the spirit of Rule 15. The list of witnesses provided by the State has been  
10 ongoing since the beginning of this case. The State cannot and should not be ordered to  
11 preclude witnesses when their testimony is vital to the State's case and the Defense has  
12 suffered no prejudice.

13  
14 The Defense is asking the State to name each and every page of each and every  
15 document it intends to use at trial. Any attempt to limit the amount of disclosure the State  
16 will use at trial puts an unfair burden on the State's ability to try its case. To request this  
17 information is an attempt to dictate the State's trial strategy and is not disclosure that is  
18 required under Rule 15 or this Court's orders.

19  
20 Both the State and the Defense should not be limited at trial to only the specified  
21 documents it names prior to trial. This is simply not good trial strategy. Neither side can  
22 predict how a witness will testify or the twists and turns of a complex case in trial. The State  
23 should not be required to limit its evidence only to those items it has specifically named  
24 ahead of trial. Rather the State, like the Defense, should have the opportunity to use any of  
25 the disclosure during trial.

26 The Defense has identified some specific items that the State will address.



1 **I. Discovery and Witnesses**

2 **James Knapp cell phone information:**

3 There is no harm in any late disclosure of Mr. Knapps cell phone information. First,  
4 the information requested by Defense is not exculpatory. This information could have been  
5 discovered by the Defense's own investigation of Mr. Knapp. Second, Mr. Knapp is not a  
6 suspect in this case.

7 **Jail Calls:**

8  
9 A witness at trial may provide testimony that could be impeached using jail phone  
10 call tapes. To request the State to specify each call it will use at trial is not proper.

11 **Late disclosed witnesses:**

12 The Defense has misstated the State's position on calling six witnesses: Debbie Hill,  
13 Paula Matthew, Dr. Rubin, Dean Shank, Marjorie Powell and Brandon Stafford. The  
14 Stated indicated to the Defense that these witnesses were **likely not** to be called or would be  
15 called as rebuttal witnesses. Specifically Dr. Rubin could be called to testify if the  
16 Defendant takes the stand and lies under oath.

17 **Late disclosure:** The supplements written by Det. Hobbs (Bates 17343-17345) are  
18 cumulative. There is no harm in the disclosure of these reports.

19 **Experts**

20  
21 Ron Castle – the State does not plan to call Ron Castle as a witness at this time.

22  
23 Susan Kossler – the State does not plan to call Susan Kossler as a witness at this  
24 time.

25 Dr. Steven Pitt – the State may call Dr. Pitt as a rebuttal witness. His testimony  
26 is reliant upon the Defense presenting its case.

Richard Echols – any objection to Mr. Echols is moot. The Court has previously  
ruled that Mr. Echols will be allowed to testify at trial. Additionally the State

1 provided the Defense with additional documents to be used at trial on January 29,  
2 2010.

3 Commander Mascher - The State only recently learned of Commander Mascher's  
4 expertise in tracking. He was disclosed as soon as the State became aware of his  
5 qualifications. Furthermore, the Defense has been aware of Commander Mascher's role  
6 in this case in tracking the footprints that were left at the scene.

6 **Forensic Testing:**

7 The State has complied with the court's order. On January 29, 2010 the State disclosed  
8 the only two items that would be returned for further testing. Those items, #505 the checkbook  
9 cover and #518 the receipt found in trash can, have been analyzed. The State is waiting on the  
10 final results but has confirmed verbally with the DPS lab that all results are negative.

12 **Back Country Search Team**

13 The State did not learn of the search team until just recently. However, they were  
14 mentioned in police reports disclosed months ago. As soon as the State learned about the team  
15 they were promptly disclosed as potential witnesses. Defense has requested interviews with  
16 each member of the team that the State is in the process of scheduling. Under *Tucker*, the  
17 witnesses should be allowed to testify.

19 **Richard Ach, Brian Fagan, Gareth Richards, Mark Day, Jonathan Lantz and  
20 Eric Gilkerson :**

21 Disclosure of these witnesses was made under the State's continuing duty to make  
22 additional disclosure of new or different information as it is discovered pursuant to Rule  
23 15.6(a).

24 **Crime Scene Diagrams:**

1 The State has continually disclosed all materials in its possession at the time the request  
2 was made. The second disclosure of the diagrams provided more detailed information. The  
3 Defense has failed to provide any legal basis for exclusion of this evidence.

4 **Shoe Print Reports:**

5 Once the State came into possession of the shoe print reports these documents were  
6 promptly disclosed to the Defense.  
7

8 **DPS Computer Forensic Reports:**

9 The Defense was provided with mirror images of the ipods, flash drives, harddrives,  
10 CDs and DVDs as far back as January 2009. The State has the burden of analyzing all the  
11 documents that were retrieved from the digital devices. These items were in the possession of  
12 the Defendant prior to his arrest and he has firsthand knowledge of. the contents of each  
13 device. (*State v. Tucker*, 157 Ariz. 586, 759 P.2d 440 (1988)). There is no prejudice to the  
14 Defense.  
15

16 **DPS:**

17 Contrary to the Defense's inference that the State was not prompt with its disclosure, the  
18 State requested this information from the DPS before it was received. The State is not in  
19 control of how long an analysis will take or when a report will be finalized. The time  
20 between a request and a final report can take months. The State can only disclose those  
21 reports that are completed and its possession. This disclosure was made promptly upon its  
22 receipt.  
23

24 **Corrective action logs:** DPS does not have a corrective action log.

25 **STR Frequency Tables:**

26 The disclosure of the allelic frequency tables is through the following  
periodicals:

1 A) Budowle B, Moretti TR, Baumstark AL, Defenbaugh DA, Keys KM.  
2 Population data on the thirteen CODIS core short tandem repeat loci in  
3 African Americans, U.S. Caucasians, Hispanics, Bahamians, Jamaicans,  
4 and Trinidadian. JForense Sci 1999;44 (6):1277-1286.

5 B) Budowle B, Shea B, Niezgoda S, Chakraborty R. CODIS STR loci  
6 data from 41 sample populations. JForensic Sci 2001;45;(3):453-489.

7 **Indexing Systems:**

8 The indexes searched for latent prints are included on the report.

9 Report: Aug 27, 2008 "#803 searched AZAFIS"

10 Report: Aug 21, 2008 "#852 searched AZAFIS"

11 **DNA:**

12 There is no paperwork generated for CODIS searches other than when the profile is  
13 submitted and if a hit (is) generated. A search is done at least once a month of indexes at the  
14 state level. The protocol also includes the information for the national level. The index for  
15 the item is listed on the generated paperwork in the report notes as previously indicated. The  
16 State is attaching a copy of the CODIS Standard Operating Procedures and CODIS  
17 Procedures manual for the defense.  
18

19 The previous information was provided by Kortney Snyder. She has answered the  
20 Defense requests to the best of her ability. Should the Defense require more information or  
21 clarification, an interview with Miss Snyder would be the best way to resolve the issues.  
22

23 **Aggravating Factors:**

24 The State filed a motion on June 29, 2009 identifying the experts and documents that  
25 would be used in support of the aggravating factors in the penalty phase.

26 **II. Dismissal of Death Penalty**

Office of the Yavapai County Attorney

255 E. Gurley Street, Suite 300

Prescott, AZ 86301

Phone: (928) 771-3344 Facsimile: (928) 771-3110

The State has complied with Rule 15.1 and Rule 15.6. The State has the right under Rule 15.6 (b) to disclose evidence up to 30 days prior to trial. There are no violations of the Rules of Discovery and dismissal of the death penalty as a sanction is without merit.

**Conclusion:**

The Defense argument that it does not have adequate time to prepare for trial is without merit. The Defendant has continually failed to show any actual prejudice by the State's ongoing disclosure of witnesses and experts.

The State respectfully requests that Defendant's Motion to Preclude Late Witnesses, Experts and Evidence be denied.

RESPECTFULLY SUBMITTED this 7<sup>th</sup> February, 2010.

Sheila Sullivan Polk  
YAVAPAI COUNTY ATTORNEY

By: [Signature]  
Joseph C. Butner  
Deputy County Attorney

COPIES of the foregoing delivered this 17<sup>th</sup> day of February, 2010 to:

Honorable Thomas J. Lindberg  
Division 6  
Yavapai County Superior Court  
(via email)

John Sears  
511 E.. Gurley St.  
Prescott, AZ 86301  
Attorney for Defendant  
(via email)

//

Office of the Yavapai County Attorney

255 E. Gurley Street, Suite 300

Prescott, AZ 86301

Phone: (928) 771-3344 Facsimile: (928) 771-3110

1 Larry Hammond  
2 Anne Chapman  
3 Osborn Maledon, P.A.  
4 2929 North Central Ave, 21<sup>st</sup> Floor  
5 Phoenix, AZ  
6 Attorney for Defendant  
7 (via email)

By: 

**CODIS STANDARD OPERATING PROCEDURES MANUAL - CSOP2008.1**Originally Adopted: 4/4/2000 as CODIS  
Standard Operating Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 13  
Effective Date: 8/5/08**Table of Contents**

1	Goals.....	2
2	Organization and Management .....	3
3	Profile Management .....	4
4	Deleting and Expunging CODIS Profiles .....	9
5	Quality Assurance/Quality Control.....	10
6	Systems Operations .....	11
Appendix A	Indexes and Specimen Categories.....	12
Appendix B	Entering STR and YSTR Casework Samples into CODIS .....	17
Appendix C	Performing Searches on Profiles of Unknown Origin .....	18
Appendix D	Entering STR Convicted Offender Samples into CODIS .....	19
Appendix E	Performing Uploads .....	21
Appendix F	Revision History.....	22

**CODIS STANDARD OPERATING PROCEDURES MANUAL - CSOP2008.1**Originally Adopted: 4/4/2000 as CODIS  
Standard Operating Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 13  
Effective Date: 8/5/08**1 Goals**

- 1.1 The Combined DNA Index System (CODIS) is a collection of DNA databases from forensic laboratories around the United States. CODIS links DNA evidence obtained from crime scenes, thereby identifying serial criminals. CODIS also compares crime scene evidence to DNA profiles obtained from convicted offenders and arrestees, thereby providing investigators with the identity of the putative perpetrator. In addition, CODIS can link DNA evidence obtained from unidentified human (remains) to relatives of missing persons and/or missing persons. CODIS also contains anonymous DNA profiles for a population statistics file. The goal of CODIS is to provide investigative assistance to law enforcement. CODIS consists of three levels.
  - 1.1.1 LDIS – the Local DNA Index System contains the DNA records from individual laboratories.
  - 1.1.2 SDIS – the State DNA Index System is used at the state level to serve as a state's DNA database including DNA profiles from LDIS.
  - 1.1.3 NDIS – the National DNA Index System is managed by the FBI as the nation's DNA database containing all DNA profiles uploaded by participating states.
- 1.2 The DNA Analysis units of the Arizona D.P.S. laboratories will enter appropriate DNA profiles from evidentiary items into CODIS. The appropriate profiles will be compared to DNA profiles from other local Arizona laboratories at SDIS as well as to known convicted offenders and arrestees contained within SDIS. The appropriate SDIS information will be eligible for entry into NDIS. These profiles will be compared to other searchable profiles contained within NDIS.



**CODIS STANDARD OPERATING PROCEDURES MANUAL - CSOP2008.1**Originally Adopted: 4/4/2000 as CODIS  
Standard Operating Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 13  
Effective Date: 8/5/08**2 Organization and Management****2.1 Organization – See the Organizational Chart maintained by the Technical Leader****2.2 Management****2.2.1 DNA Analyst**

- A** The DNA analyst generates DNA profiles and has the responsibility to determine whether or not there is a DNA profile that is appropriate for entry into CODIS in their case.
- B** It is the responsibility of the analyst to update any changes to their profiles (i.e., subsequent determination that an unknown profile belongs to an elimination source and should be unmarked or deleted from SDIS).

**2.2.2 CODIS Administrators - (Local CODIS Administrators at the Northern and Southern Regional Laboratories and State CODIS Administrators at the Central Laboratory)**

- A** The CODIS Administrator is responsible for insuring the DNA units are in compliance with DNA Advisory Board (DAB) standards relevant to CODIS.
- B** The CODIS Administrator is responsible for all operations of the CODIS system. These responsibilities include, but are not limited to, those listed in Section 3.4 of the CODIS Procedures Manual.
  - State Administrator – has the authority to shut down the CODIS participation of regional laboratories that fail to meet requirements set forth to them in the CODIS Procedures Manual and the CODIS Standard Operating Procedures Manual

**CODIS STANDARD OPERATING PROCEDURES MANUAL - CSOP2008.1**Originally Adopted: 4/4/2000 as CODIS  
Standard Operating Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 13  
Effective Date: 8/5/08**3 Profile Management****3.1 CODIS Identification Number**

3.1.1 Each sample entered into CODIS will have a unique identifier – either a case number identifier for casework (if the casework sample is a mixture a “#” sign is to be placed after the unique number identifier) or an alphanumeric barcode for convicted offender samples.

**3.2 Entering Profiles into CODIS**

3.2.1 There are numerous indexes and specimen categories to which samples can be assigned. Those indexes and specimen categories are listed and defined in Appendix A.

3.2.2 All profiles that may be entered into CODIS must undergo technical and administrative file reviews.

**3.2.3 STR Casework**

A Analysts will identify profiles to be uploaded to SDIS and NDIS. A technical review must be done before entering profiles into CODIS. Once a technical review is completed, unknown forensic profiles should be compared to the staff database either by a keyboard search described in Appendix C or by viewing a spreadsheet.

B Documentation of the upload will include:

- All samples entered into CODIS will be noted as such in the case file summary sheet.
- All samples entered into CODIS will have a Specimen Detail Report printed out and attached to the case file.
- The Reconciliation Report(s) showing the upload of these samples to SDIS and NDIS will be maintained by the State CODIS Administrator.

C STR casework profiles permitted to be uploaded and searched at NDIS:

- Must be one of five indexes: Forensic, Forensic Mixture, Unidentified Human Remains, Relatives of Missing Persons, or Missing Person. At the national level Forensic Mixture is included in the Forensic Index. These are defined in Appendix A.
- A case may have more than one sample with the same DNA profile. A single profile will be entered for each different DNA profile obtained in the case.

**CODIS STANDARD OPERATING PROCEDURES MANUAL - CSOP2008.1**Originally Adopted: 4/4/2000 as CODIS  
Standard Operating Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 13  
Effective Date: 8/5/08

- D STR casework profiles permitted to be uploaded and searched at SDIS:
- Must be one of the 5 indexes listed in Section C above, the AZ Searches, or the AZ UHR Searches. These are defined in Appendix A.
- E DNA analysts will use their discretion in regard to any other DNA profiles that might be generated during their analyses that do not fit into any of the above mentioned categories.
- F Requirements:
- STR profiles to be uploaded to NDIS must contain a minimum of 10 of the core loci (except Relatives of Missing Persons, which must contain all 13, and Unidentified Human Remains and Missing Persons, which must contain a minimum of 8 of the core loci) with all 13 core loci attempted (as defined in the CODIS Procedures Manual).
  - STR profiles to be uploaded to SDIS must contain a minimum of 6 of the core loci with all 13 core loci attempted.
- G The procedure for entering casework samples into CODIS is outlined in Appendix B.
- H Off-ladder alleles that vary by less than the consensus repeat (4 base pairs) will be designated as an integer of that variation. The designations .1, .2, or .3 may be entered if it is an acceptable NDIS allele designation.
- I If an allele falls above the largest or below the smallest peak of the ladder, the allele will be designated as either greater than (>) or less than (<) the respective ladder allele.

**3.2.4 STR Offenders and Arrestees**

- A Database profiles are entered into CODIS using a CMF file, the Import function of Specimen Manager and DNACOMM. On rare occasions, they may be entered manually by a database analyst.
- B Documentation of the upload will include:
- The Database Sample CODIS Log. This log sheet needs to be completed for each batch transfer with the following information: batch number, date of transfer, person completing the transfer, and any comments.

**CODIS STANDARD OPERATING PROCEDURES MANUAL - CSOP2008.1**Originally Adopted: 4/4/2000 as CODIS  
Standard Operating Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 13  
Effective Date: 8/5/08

- C Requirements:
- STR profiles must contain all 13 core loci.
- D The procedure for entering a batch of database samples into CODIS is outlined in Appendix D.

**3.2.5 YSTRs**

- A Analysts will identify profiles to be uploaded. A technical review must be done before entering profiles into CODIS. Uploads will be performed by a CODIS Administrator at least once a month.
- B Documentation of the profiles will include:
- All samples entered into CODIS will be noted as such in the case file.
  - All samples entered into CODIS will have a Specimen Detail Report printed out and attached to the case file.
  - The Reconciliation Report(s) showing the upload of these samples will be maintained by the State CODIS Administrator.
- C The requirements for YSTR profiles permitted to be uploaded and searched can be found in the CODIS Procedures Manual.
- D The procedure for entering a YSTR DNA profile into CODIS is outlined in Appendix B.

**3.2.6 mtDNA**

- A Analysts will identify profiles to be uploaded. A technical review must be done before entering profiles into CODIS. Uploads will be performed by a CODIS Administrator at least once a month (assuming data has been produced that is eligible for upload).
- B Documentation of the upload will include:
- All samples entered into CODIS will be noted as such in the case file.
  - Profiles marked for upload will have a Specimen Detail Report printed out and attached to the case file.
  - The Reconciliation Report(s) showing the upload of these samples will be maintained by the State CODIS Administrator.
- C The requirements for mtDNA profiles permitted to be uploaded and searched can be found in the CODIS Procedures Manual.

**3.3 Routine Uploads and Searches of the Database**

**CODIS STANDARD OPERATING PROCEDURES MANUAL - CSOP2008.1**Originally Adopted: 4/4/2000 as CODIS  
Standard Operating Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 13  
Effective Date: 8/5/08**3.3.1 Uploads:**

- A Local CODIS Administrators will perform at least one upload a month (assuming data has been produced eligible for upload) with the option of weekly uploads to SDIS on a scheduled basis. The procedure for uploading to SDIS is outlined in Appendix E.
- B The State CODIS Administrator will perform at least one upload a month with the option of weekly uploads to NDIS on a scheduled basis.

**3.3.2 Searches:**

- A Database searches and pertinent target batch file searches will be performed at least once a month, usually weekly, by the State CODIS Administrator at the state level.
- B Local CODIS Administrators may perform local searches at their discretion.
- C Keyboard searches may be performed on a technically reviewed forensic unknown in certain situations at the state laboratory. The procedure for this search is outlined in Appendix C. The search report will be attached to the case file.

**3.4 Outside Agency Requests for Searches:****3.4.1 Keyboard Searches - As defined in the CODIS Procedures Manual****3.4.2 Target Batch Searches - As defined in the CODIS Procedures Manual**

- A Appropriate profiles generated by the CODIS Fax Network and the CODIS web site will be entered into target batch files by the State CODIS Administrator and searched at least once a month.
- B A candidate match with a target profile found to be a true match will be subject to the confirmation process described in the CODIS Procedures Manual.

**3.4.3 Remote Searches (as defined in the CODIS Procedures Manual)**

- A Public - The analyst will submit the Remote Search Request to the State Administrator who will forward the request to the national level if necessary. The NDIS custodian or the State CODIS Administrator will execute the Public Remote Search Request at his/her discretion.

**CODIS STANDARD OPERATING PROCEDURES MANUAL - CSOP2008.1**Originally Adopted: 4/4/2000 as CODIS  
Standard Operating Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 13  
Effective Date: 8/5/08

- B Private - The analyst will submit the Remote Search Request to the State CODIS Administrator who will forward the request to the national level if necessary. The NDIS custodian or the State CODIS Administrator will execute the Private Remote Search Request at his/her discretion.

**3.4.4 International Searches (as defined in the CODIS Procedures Manual)****3.5 Verifying and Reporting Matches**

- 3.5.1 The procedures for verifying and reporting matches are described in the CODIS Procedures Manual.

**CODIS STANDARD OPERATING PROCEDURES MANUAL - CSOP2008.1**Originally Adopted: 4/4/2000 as CODIS  
Standard Operating Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 13  
Effective Date: 8/5/08**4 Deleting and Expunging CODIS Profiles****4.1 Deleting CODIS Profiles**

4.1.1 There may be times when it is necessary for a CODIS Administrator to delete or unmark a record from LDIS and/or SDIS. On these occasions, a deletion report, when produced, will be printed and filed in a deletion notebook.

4.2 Expungement of CODIS Profiles – The procedures outlined in the CODIS Procedures Manual should be followed.

**CODIS STANDARD OPERATING PROCEDURES MANUAL - CSOP2008.1**Originally Adopted: 4/4/2000 as CODIS  
Standard Operating Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 13  
Effective Date: 8/5/08**5 Quality Assurance/Quality Control****5.1 Proficiency Testing**

- 5.1.1 Proficiency test documentation will be maintained as required by the CODIS Procedures Manual.
- 5.1.2 Proficiency test documentation will be provided to NDIS as required for NDIS participation.
- 5.1.3 All DNA analysts will participate in semiannual proficiency testing with the proficiency being supplied by a DNA proficiency testing program meeting the standards issued under the FBI Director's Quality Assurance Standards.
- 5.1.4 Any problems related to proficiency testing will be handled as detailed in the Quality Assurance Manual.

**5.2 Audits**

- 5.2.1 Audit documentation will be maintained as required by the NDIS Procedures Manual.
- 5.2.2 Audit documentation will be provided to NDIS as required for NDIS participation.
- 5.2.3 The DNA units and the CODIS program will be audited as required by the *Quality Assurance Standards for Forensic DNA Testing Laboratories* and the *Quality Assurance Standards for Convicted Offender DNA Databasing Laboratories*.

**5.3 CODIS Training**

- 5.3.1 All new CODIS users will receive CODIS training as outlined in the DNA Training Manuals.

**5.4 Compliance with the National Standards**

- 5.4.1 Standards 5.1 to 5.3 will be followed by the DNA units.



**CODIS STANDARD OPERATING PROCEDURES MANUAL - CSOP2008.1**Originally Adopted: 4/4/2000 as CODIS  
Standard Operating Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 13  
Effective Date: 8/5/08**6 Systems Operations**

6.1 CODIS Security - Section 1.6 of the CODIS Procedures Manual should be followed.

6.2 Tape Backup

6.2.1 At the state laboratory, a CODIS backup on the server(s) is run Monday through Friday. The tape is replaced once a week for a month. These tapes are stored in a secure on-site location. The last tape of the month is permanently stored at a secure off-site location. (The Department of Library, Archives and Public Records.)

6.2.2 At the local laboratories, a CODIS backup is run once a week. The tape is replaced once every month. These tapes are transported to the state laboratory and permanently stored at a secure off-site location. (The Department of Library, Archives and Public Records.)

6.3 Virus Definitions – Virus definitions should be updated monthly on the CODIS computers.

6.4 File Storage

6.4.1 STR Casework – The run folders are kept on the 310/3130 computers and archived periodically.

6.4.2 STR Offender - The run folders are kept on the 3100/3130xl computers and archived periodically.

6.4.3 YSTRs – The run folders are kept on the 310/3130 computers and archived periodically.

6.4.4 mtDNA – The run folders are kept on the 3100/3130 computers and archived periodically.

**CODIS STANDARD OPERATING PROCEDURES MANUAL - CSOP2008.1**Originally Adopted: 4/4/2000 as CODIS  
Standard Operating Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 13  
Effective Date: 8/5/08

## Appendix A Indexes and Specimen Categories

**Table of Indexes**

Indexes	Definition
<b>Arrestee</b>	An Arrestee Index consists of DNA records of persons who have been arrested or indicted or charged in an information with a crime and are required by law to provide DNA samples.
<b>AZ Searches</b>	The AZ Searches index includes profiles from forensic samples with results at 6 to 9 of the core loci and forensic mixtures that contain no more than four alleles at four loci with the other loci having up to three alleles.
<b>AZ UHR Searches</b>	The index AZ UHR Searches includes profiles from Unidentified Human (Remains) with results at 6 to 7 of the core loci.
<b>Forensic Mixture</b>	An ambiguous forensic profile, which contains no more than four alleles at four loci with the other loci only having up to two alleles.
<b>Forensic</b>	A Forensic Index consists of DNA profiles originating from and associated with evidence found at crime scenes. For example, evidence associated with a crime scene includes DNA that may be carried away from the crime scene. It also consists of DNA profiles originating from an unambiguous forensic unknown profile from a mixture.
<b>Legal</b>	A Legal Index consists of DNA records of persons whose DNA samples are collected under applicable legal authorities.
<b>Missing Person</b>	A Missing Person Index consists of DNA records from missing persons and deduced missing persons.
<b>Offender</b>	A Convicted Offender Index consists of DNA records from offenders convicted of qualifying state crimes and juveniles required by the relevant jurisdiction to provide DNA samples.
<b>Population</b>	A Population Index consists of DNA profiles intended to represent various population segments from designated geographical regions. Population frequencies may be generated from the Population samples and applied to the interpretation of forensic DNA analyses.
<b>Relatives of Missing Persons</b>	A Relatives of Missing Persons Index consists of DNA records from biological relatives of individuals reported missing. This includes Biological Mother, Biological Child, Biological Father, Biological Sibling, Maternal Relative, and Paternal Relative.
<b>Spouse</b>	A Spouse Index consists of the DNA records of presumptive parents of a common child of a missing person.
<b>Staff</b>	A Staff Index consists of the DNA records of known samples from staff members.
<b>Unidentified Human (Remains)</b>	The Unidentified Human (Remains) Index consists of DNA records from recovered living persons (e.g., children who can't and other who can't or refuse to identify themselves) and recovered dead persons (including their body parts and tissues) whose identities are not known.
<b>Unreviewed Offender</b>	Unreviewed Offender Index is only to be used when importing the unreviewed outsourced offender profiles into CODIS and generating a batch file for the purpose of performing a one-time search of these unreviewed profiles at NDIS.
<b>Unsearchable Categories</b>	Unsearchable Categories Index consists of DNA records from various specimen categories that can not be searched.



**CODIS STANDARD OPERATING PROCEDURES MANUAL - CSOP2008.1**

Originally Adopted: 4/4/2000 as CODIS  
Standard Operating Procedures Manual

Issuing Authority:  
Todd A. Griffith, Superintendent

Revision #: 13  
Effective Date: 8/5/08

**Table of Specimen Categories**

Category	Upload	Index	Searched Against	Specimen Category Definition
<b>Alleged Father</b>	No	Unsearchable Categories	Not searched	DNA profiles from alleged fathers in cases not related to missing persons.
<b>Alleged Mother</b>	No	Unsearchable Categories	Not searched	DNA profiles from alleged mothers in cases not related to missing persons.
<b>Arrestee</b>	No	Arrestee (A)	Not searched	The known sample from a person who has been arrested and in accordance with the law of the applicable jurisdiction is required to provide a DNA sample for analysis and entry into a state DNA database. The term "arrestee" includes persons who have been charged in a formal criminal instrument, such as an indictment or an information.
<b>AZ Searches</b>	No	AZ Searches (AZS)	AZS, AZUHR, FM, F, MP, O, A, UHR	The specimen category AZ Searches includes profiles from forensic samples with results at 6 to 9 of the core loci and forensic mixtures that contain no more than four alleles at four loci with the other loci having up to three alleles.
<b>AZ UHR Searches</b>	No	AZ UHR Searches (AZUHR)	AZS, AZUHR, FM, F, MP, O, A, UHR, RMP	DNA profiles from unidentified human remains that have only 6 to 7 loci.
<b>Biological Child</b>	Yes	Relatives of Missing Persons (RMP)	AZUHR, UHR	The known reference sample voluntarily provided by an adult, child or provided with the parental/guardian consent for a minor child of a reported missing person.
<b>Biological Father</b>	Yes	Relatives of Missing Persons (RMP)	AZUHR, UHR	The known reference sample voluntarily provided by the biological father of a reported missing person.
<b>Biological Mother</b>	Yes	Relatives of Missing Persons (RMP)	AZUHR, UHR	The known reference sample voluntarily provided by the biological mother of a reported missing person.
<b>Biological Sibling</b>	Yes	Relatives of Missing Persons (RMP)	AZUHR, UHR	The known reference sample voluntarily provided by the full or half biological adult sibling or provided with the parental/guardian consent of the full or half biological minor sibling of a reported missing person.
<b>CO Duplicate</b>	No	Unsearchable Categories	Not searched	Duplicate known reference samples from convicted offenders.



## ARIZONA DEPARTMENT OF PUBLIC SAFETY SCIENTIFIC ANALYSIS BUREAU

**CODIS STANDARD OPERATING PROCEDURES MANUAL - CSOP2008.1**Originally Adopted: 4/4/2000 as CODIS  
Standard Operating Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 13  
Effective Date: 8/5/08

Category	Upload	Index	Searched Against	Specimen Category Definition
<b>Convicted Offender</b>	Yes	Offender (O)	AZS, AZUHR, FM, F, MP, O, A, UHR	The known sample from a person who has been convicted of a state qualifying offense in a jurisdiction that requires that persons convicted of enumerated crimes or qualifying offenses provide a DNA sample for analysis and entry into a state DNA database. Juvenile offenders may be entered into this category as well.
<b>Deduced Victim Known (Deduced Missing Persons)</b>	Yes	Missing Person (MP)	AZS, AZUHR, FM, F, MP, O, A, UHR	The DNA profile of a reported missing person that has been generated by examining intimate items purported to belong to the missing person, (such as a toothbrush), and compared to close biological relatives, if possible.
<b>Forensic Mixture</b>	Yes	Forensic Mixture (FM)	AZS, AZUHR, FM, F, MP, O, A, UHR	Ambiguous DNA profiles, which contain no more than four alleles at four loci and no more than two alleles at each of the remaining loci.
<b>Forensic Unknown</b>	Yes	Forensic (F)	AZS, ZUHR, FM, F, MP, O, A, UHR	A specimen category in the CODIS software that is stored in the Forensic Index and originates from a Forensic Sample (biological sample found at the scene of a crime).
<b>Juvenile</b>	Yes	Offender (O)	AZS, AZUHR, FM, F, MP, O, A, UHR	The known sample from a juvenile (as the term is defined by the relevant jurisdiction) who is required by state law to provide a DNA sample for analysis and entry into a state DNA database.
<b>Knowns</b>	No	Unsearchable Categories	Not searched	This specimen category houses two subcategories – Victim Known (Known reference samples from victims) and Elimination Known (A biological sample from a known individual, other than the alleged perpetrator or victim, which is analyzed for purposes of identifying those portions of a forensic DNA profile attributable to the alleged perpetrator, i.e., consensual sex partner).



**CODIS STANDARD OPERATING PROCEDURES MANUAL - CSOP2008.1**

Originally Adopted: 4/4/2000 as CODIS  
Standard Operating Procedures Manual

Issuing Authority:  
Todd A. Griffith, Superintendent

Revision #: 13  
Effective Date: 8/5/08

Category	Upload	Index	Searched Against	Specimen Category Definition
<b>Legal</b>	No	Legal	Not searched	The known reference sample from a person whose DNA sample is collected under applicable legal authorities, provided that DNA samples that are voluntarily submitted solely for elimination purposes shall not qualify as a Legal specimen. An example of a Legal specimen is a sample collected from a person found not guilty by reason of insanity who is required by the relevant state law to provide a DNA sample for analysis and entry into a state DNA database.
<b>Maternal Relative</b>	Yes	Relatives of Missing Persons (RMP)	AZUHR, UHR	The known reference sample voluntarily provided by a maternal biological relative who is not a mother, child or sibling of a reported missing person.
<b>Missing Person</b>	Yes	Missing Person (MP)	AZS, AZUHR, FM, F, MP, O, A, UHR	Known reference samples from individuals that are missing in which the source of the DNA has been verified as originating from the missing person.
<b>Other</b>	No	Unsearchable Categories	Not searched	DNA profiles that do not meet the other categories or cannot be searched.
<b>Paternal Relative</b>	Yes	Relatives of Missing Persons (RMP)	AZUHR, UHR	The known reference sample voluntarily provided by a paternal biological relative who is not a father, child or sibling of a reported missing person.
<b>Paternity</b>	No	Unsearchable Categories	Not searched	This specimen category houses two subcategories – Paternity Child (DNA profiles from children in paternity cases) and Paternity Mother (DNA profiles from biological mothers in paternity cases).
<b>Population</b>	No	Population	Not searched	An anonymous sample or a sample that has had all personally identifiable information removed in order to be included in a population file for purposes of generating population frequencies.
<b>Spouse</b>	Yes	Spouse	Not searched	The known reference sample voluntarily provided by a presumptive parent of a common child. Once the individual has been identified for which this reference sample is in this index, this specific DNA profile must be removed from this index.
Category	Upload	Index	Searched Against	Specimen Category Definition



## ARIZONA DEPARTMENT OF PUBLIC SAFETY SCIENTIFIC ANALYSIS BUREAU

**CODIS STANDARD OPERATING PROCEDURES MANUAL - CSOP2008.1**Originally Adopted: 4/4/2000 as CODIS  
Standard Operating Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 13  
Effective Date: 8/5/08

Staff	No	Unsearchable Categories	AZS, AZUHR, FM, F, MP, O, A, UHR, RMP	Known reference samples from staff members.
Suspect	No	Unsearchable Categories	Not searched	This specimen category houses three subcategories; Suspect Known (Known reference samples from suspects), Deduced Suspect (DNA profiles of suspects that have been generated by examining intimate items purported to belong to the suspect) and Deceased (DNA profiles from deceased persons who may have been involved in previous crimes)
Unidentified Person	Yes	Unidentified Human (Remains) (UHR)	AZS, AZUHR, FM, F, MP, O, A, UHR, RMP	The DNA profile developed from the recovered deceased (including body parts and tissue) or an individual who is unidentified (e.g., children who can't and others who can't or refuse to identify themselves).
Unreviewed Offender	Yes	Unsearchable at SDIS	See NDIS Procedures	Samples of unreviewed outsourced offender profiles generating a batch file for the purpose of performing a one-time search of these unreviewed profiles at NDIS.

**CODIS STANDARD OPERATING PROCEDURES MANUAL - CSOP2008.1**Originally Adopted: 4/4/2000 as CODIS  
Standard Operating Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 13  
Effective Date: 8/5/08**Appendix B Entering STR and YSTR Casework Samples into CODIS**

- 1 The data must be technically reviewed before performing the following steps.
- 2 Log on to a CODIS workstation with user name and password.
- 3 Casework Analyst
  - 3.1 Open STR Data Entry.
  - 3.2 Enter your specimen ID in the "Specimen ID" field.
  - 3.3 Select the appropriate specimen category under the "Specimen Category" pull-down menu.
  - 3.4 Select the appropriate source identified under the "Source Identified?" pull-down menu.
  - 3.5 Select the appropriate partial profile under the "Partial Profile?" pull-down menu.
  - 3.6 Enter any comments in the "Comments" field.
  - 3.7 Enter the values at all loci (separate the alleles with a comma) for "Reading 1".
  - 3.8 Reenter the values under "Reading 2" for all loci.
  - 3.9 Select Save at the bottom of the screen.
    - 3.9.1 If a final value does not match, then reenter the values for reading 1 and reading 2 and save them.
  - 3.10 For all the specimen categories that are entered into CODIS print a Specimen Detail Report and attach it to the case file. The appropriate categories are automatically marked for upload when they are entered into CODIS.
  - 3.11 All other specimen categories will automatically be unmarked when they are entered into CODIS.
  - 3.12 Close the STR Data Entry window.
  - 3.13 Repeat this process for each specimen.
  - 3.14 Alternatively, profiles may be batch imported similar to the procedure outlined in Appendix D.
- 4 Administrative Reviewer
  - 4.1 Compare the summary sheet values for all loci to the Specimen Detail Reports for the samples to be uploaded to SDIS and/or NDIS.
  - 4.2 If a discrepancy is found, it should be brought to the analyst's immediate attention so that the correction can be made.

**CODIS STANDARD OPERATING PROCEDURES MANUAL - CSOP2008.1**Originally Adopted: 4/4/2000 as CODIS  
Standard Operating Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 13  
Effective Date: 8/5/08**Appendix C Performing Searches on Profiles of Unknown Origin**

- 1 Create a Search Entitled "Staff Search".
  - 1.1 Log on to a CODIS workstation with user name and password.
  - 1.2 Open "Searcher".
  - 1.3 For the "Staff Search", select "Configuration Data" from the Search pull-down menu.
    - 1.3.1 Set "Minimum number of loci required to report a match" = 6.
    - 1.3.2 Set "Include candidates that match at all" = 0.
    - 1.3.3 Set "Indexes to search in" = Staff.
    - 1.3.4 Select the 13 core STR loci plus Amelogenin.
    - 1.3.5 Set the stringency to "M" (moderate) for all searchable loci.
    - 1.3.6 Save the Search as "Staff Search" under the file pull-down menu.
  - 1.4 This search must be created and saved on each workstation.
- 2 Performing Searches
  - 2.1 Select appropriate search from the file pull-down menu
  - 2.2 On the "Target Profile Screen":
    - 2.2.1 Enter "Lab ID".
    - 2.2.2 Enter "Specimen ID".
    - 2.2.3 Enter the loci values or retrieve the profile from the database.
  - 2.3 Select "Perform Search" from the Search pull-down menu.
  - 2.4 Print out search results and notify the CODIS State Administrator of any candidate matches.



**CODIS STANDARD OPERATING PROCEDURES MANUAL - CSOP2008.1**Originally Adopted: 4/4/2000 as CODIS  
Standard Operating Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 13  
Effective Date: 8/5/08**Appendix D Entering STR Convicted Offender Samples into CODIS**

- 1 The data must be technically reviewed before performing the following steps.
- 2 Preparing the CMF file for in-house data for import into CODIS
  - 2.1 Make sure that the data going into CODIS meets the DPS requirements for acceptable data.
  - 2.2 Open the saved project in GeneMapper.
  - 2.3 Verify that manually entered allelic values for off-ladder calls are correct.
  - 2.4 Change the specimen category to "Convicted Offender" or "Arrestee" for all samples to be uploaded into CODIS. All other samples and controls should remain "no export".
  - 2.5 From the File drop down menu, select "Export Tables for CODIS".
  - 2.6 Select Export File as "CMF 1.0" or "CMF 3.0".
  - 2.7 The Source ID and Destination ID should be set to "AZ0079400". If this is not a choice, this can be added in the CODIS Export Manager under the Tools drop down menu.
  - 2.8 Export the CMF file to a removable flash drive.
  - 2.9 Samples with no allelic values at either of the two non-core loci (D2S1338 or D19S433) will have to be edited by opening the CMF file in WordPad in order to import properly.
- 3 Preparing the CMF file for outsource data for import into CODIS
  - 3.1 Outsource data will be analyzed using the FSSi<sup>3</sup> expert system.
  - 3.2 Once data has been deemed to meet the DPS requirements for acceptable data, a CMF file will be generated using the FSSi<sup>3</sup> Export Tool.
  - 3.3 The FSSi<sup>3</sup> Export Tool will contain all data including controls, therefore the analyst doing the review must change the specimen category for all controls and rejected samples to [None].
  - 3.4 For acceptable data, the specimen category should be changed to "Convicted Offender" or "Arrestee".
  - 3.5 Export the CMF file to a removable flash drive.
  - 3.6 Samples with no allelic values at either of the two non-core loci (D2S1338 or D19S433) will have to be edited by opening the CMF 1.0 file in WordPad in order to import properly.
- 4 Importing data into CODIS
  - 4.1 Open Specimen Manager.
  - 4.2 Select the Import CMF file button.
  - 4.3 Double Click on the CMF file (.dat) to be imported from the flash drive..
  - 4.4 Under "Assign to User" enter analyst's CODIS user name.
  - 4.5 After all files are imported, close Specimen Manager.
  - 4.6 Go to DNACOMM.
  - 4.7 Choose the Import File tab.
    - 4.7.1 The imported CMF files will appear in red. To validate an imported CMF file, double click on the file or select the Validate button.

**CODIS STANDARD OPERATING PROCEDURES MANUAL - CSOP2008.1**Originally Adopted: 4/4/2000 as CODIS  
Standard Operating Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 13  
Effective Date: 8/5/08

- 4.8 Choose the Import Reports tab.
  - 4.8.1 Select the Check e-Mail button. The validated files will appear in red. View the validation reports by double clicking on each file. After checking for problems, close the reports.
- 4.9 Choose the Import Files tab.
  - 4.9.1 The imported CMF files will still be in red. To import a file, right click on the individual file and select "execute" or select the Execute button.
- 4.10 Choose the Import Reports tab.
  - 4.10.1 Select the Check e-Mail button. The imported files will appear in red. View the import reports by double clicking on each file.
- 5 Manually entering off ladder alleles.
  - 5.1 Open STR Data Entry.
  - 5.2 Enter specimen ID for sample with the off ladder alleles and select query.
  - 5.3 The imported profile should come up automatically. Enter the appropriate allelic values for the locus that had the off ladder allele under Reading 1. Re-enter allelic values under Reading 2 and select the save button at the bottom of the screen.
  - 5.4 Close the STR Data Entry window.
- 6 For each batch transferred, fill out the appropriate information in the Database Sample CODIS Logbook.

**CODIS STANDARD OPERATING PROCEDURES MANUAL - CSOP2008.1**Originally Adopted: 4/4/2000 as CODIS  
Standard Operating Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 13  
Effective Date: 8/5/08**Appendix E Performing Uploads**

- 1 Upload from LDIS to SDIS
  - 1.1 Log on to a CODIS workstation with user name and password.
  - 1.2 Go to CODIS Programs.
  - 1.3 Select Specimen Manager.
  - 1.4 Select "Full" or "Incremental" (depending on the type of upload being sent) from the Upload pull down menu.
  - 1.5 Select "Send Upload" from the upload pull down menu.
  - 1.6 Exit Specimen Manager and then exit CODIS.
  - 1.7 Store the Reconciliation Report.
- 2 Uploads from SDIS to NDIS
  - 2.1 Log on to the CODIS server with user name and password.
  - 2.2 Go to CODIS Programs.
  - 2.3 Select Specimen Manager.
  - 2.4 Select "Full" or "Incremental" (depending on the type of upload being sent) from the Upload pull down menu.
  - 2.5 Select "Send Upload" from the upload pull down menu.
  - 2.6 Exit Specimen Manager and then exit CODIS.
  - 2.7 Store the Reconciliation Report.

**CODIS STANDARD OPERATING PROCEDURES MANUAL - CSOP2008.1**Originally Adopted: 4/4/2000 as CODIS  
Standard Operating Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 13  
Effective Date: 8/5/08**Appendix F Revision History****1 Revision History of CODIS Standard Operating Procedures Manual**

<b>Sections Revised</b>	<b>Date</b>	<b>Issuing Authority</b>
Reformat of existing document		
Revision (CSOP2007.1). Corrected all spelling, grammatical and formatting errors found. Added a section on organization and management. Removed the list of the CODIS administrator's responsibilities and CODIS security requirements. Added specimen categories to Appendix A. Removed Appendix E and Appendix F became Appendix E.	08/24/2007	Todd A. Griffith
Revision (CSOP2008.1). Corrected all spelling, grammatical and formatting errors found. Added changes reflecting the new Arrestee law in all applicable sections. Added section 5.3 on CODIS training. Deleted sections 1.3 (Unknown Search) and 1.4 (RMP Search). Revised Appendix D to reflect analysis of outsource data using the expert system FSSI <sup>3</sup> .	05/22/2008	Todd A. Griffith

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08**Table of Contents**

1	Laboratories.....	2
2	CJIS WAN Operational Procedures.....	45
3	CODIS Users.....	48
4	Specimen Management .....	73
5	Searches.....	88
6	Laboratory Audits and External Proficiency Testing.....	133
7	Review of External Audits .....	143
8	DNA Data Acceptance .....	156
9	Missing Persons and Related DNA Data .....	171
10	Access to, and Disclosure of, DNA Data at NDIS and SDIS .....	176
11	Terms and Abbreviations .....	180
12	Revision History.....	192

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08**1 Laboratories****1.1 Initiate and Maintain Participation in NDIS**

**1.1.1 Purpose:** The purpose of this section is to define the steps required to add a state and its laboratories to NDIS. The procedure also describes how a state may add a laboratory at a later date.

**1.1.2 Responsibilities:** The Designated State Official is responsible for collecting all information from participating laboratories within the state, maintaining copies, and forwarding required documentation to the FBI. All official correspondence related to NDIS will be between the Designated State Official and the NDIS Custodian. The Designated State Official may delegate these responsibilities to the laboratory's CODIS Administrator. This delegation has been made and all references to Designated State Official have been changed to refer to the CODIS Administrator in the appropriate places.

**1.1.3 Participation Requirements**

**A** Laboratories seeking to participate in NDIS shall satisfy the following criteria relating to accreditation and the definitions of a criminal justice agency and laboratory:

- **Accreditation:** Laboratories participating in NDIS or seeking to participate in NDIS shall be accredited by a nonprofit professional association of persons actively involved in forensic science that is nationally recognized within the forensic science community, such as the American Society of Crime Laboratory Directors/Laboratory Accreditation Board (ASCLD/LAB) or Forensic Quality Services (FQS).
- Each laboratory within a multi-laboratory system shall be accredited in DNA in order to participate or seek to participate in NDIS.
- **Definition of Criminal Justice Agency:** A criminal justice agency is an agency or institution of the federal, state, or local government, other than the office of the public defender, which performs, as part of its principal function, activities relating to the apprehension, investigation, prosecution, adjudication, incarceration, supervision or rehabilitation of criminal offenders. For purposes of participation in the National DNA Index System, the DNA Identification Act of 1994 was amended by Public Law 106-546 to include the Secretary of Defense.

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted. 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

- **Definition of Laboratory:** All laboratories seeking to participate or already participating in NDIS shall have the capability to perform DNA analyses at their facility.
- **Effective August 1, 2005,** government facilities seeking to participate in NDIS shall employ at least two fulltime DNA analysts in order to be considered a laboratory. For those laboratories already participating in NDIS that do not employ two fulltime analysts, such NDIS participating laboratories shall have until August 1, 2007, to employ two fulltime DNA analysts.

**B Inquiry from State:** All inquiries from states regarding NDIS participation should be directed to the NDIS Custodian. The NDIS Custodian will advise the state that it must send a letter from the Designated State Official certifying that it is a criminal justice agency and listing the laboratories that the state proposes to include in NDIS. A sample letter is shown in Figure 1.1.

**C FBI Response:** Upon receipt of the state's letter, the NDIS Custodian will review the request. If the inquiry is not from a criminal justice agency, the FBI will send a letter denying the participation request (Figure 1.2). If the inquiry is from a criminal justice agency, the NDIS Custodian will send a letter (Figure 1.3) requesting approval or completion of the following documents/documentation:

- **NDIS Memorandum of Understanding.** This participation agreement includes the license to use CODIS software and information on compliance with the DNA Identification Act (as amended), records access and security, communications access, notification/indemnification/termination, NDIS responsibilities, NDIS data acceptance standards, NDIS Procedures, and the NDIS Privacy Act Notice;
- **CODIS Laboratory Information document** for each laboratory (**Error! Reference source not found.**) and documentation of accreditation status for each laboratory (effective October 30, 2006);
- **A copy of the laboratory's most recent external Quality Assurance Standard audit** performed within 24 months of the application to participate in NDIS; and
- **CODIS User information documents;** including fingerprint cards and security forms.

**D** The local laboratories will be required to sign a statewide contract (Memorandum of Understanding) with the Department of Public Safety legal department.

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

**E Final Processing:** The NDIS Custodian will review all information as it is received and will maintain a log with the status of each state's information. If any information is missing or incomplete, the NDIS Custodian will notify the state. The state will complete and return all documents. Upon receipt of all information, the NDIS Custodian will review it and have the laboratory and user information entered into the CODIS system. The NDIS Custodian will return the following to the state:

- A confirmation letter (Figure 1.5) with the date of activation;
- A copy of the NDIS Memorandum of Understanding countersigned by the FBI; and
- CODIS reports indicating the entry of laboratory and users.

The information package from the state will be forwarded to the appropriate FBI files.

**1.1.4 Adding a Laboratory**

**A** If a state needs to add laboratories to CODIS after the state has already begun participating in NDIS, a subset of the initiating process will be used.

- The local laboratory wanting to be added to CODIS will contact the State CODIS Administrator in writing using a letter similar to Figure 1.6. They will also contact their local S.S.O. (Systems Security Officer) to request an ORI#. The S.S.O. will request the number from the State C.T.O. (Control Terminal Officer). The C.T.O. will forward the request to the FBI (if a number is not available). Once the ORI# is obtained, the State CODIS Administrator should be notified.
- The State CODIS Administrator will send the laboratory:
  - A statewide contract (Memorandum of Understanding) to be signed and returned to the Department of Public Safety. This document includes the CODIS Procedures Manual and informs the local laboratory of their responsibilities as an NDIS participant. From this manual the following forms should be completed and returned to the State CODIS Administrator.
    - ⇒ CODIS Laboratory Information Form
    - ⇒ CODIS User Information Form (for each user)
    - ⇒ External Proficiency Testing Document (for each user)
    - ⇒ Documentation of Accreditation



**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

- ⇒ Audit Certification Form
- Privacy Act Explanation (2 copies each user)
- Fingerprint (10 Print) cards (2 copies each user)
- Background Data Information Form
- Once all the above documentation is returned to the State CODIS Administrator, the State CODIS Administrator will send a letter (Figure 1.6) accompanied by the appropriate documentation to the NDIS Custodian. The letter must include the statement that the laboratories have been informed of their responsibilities as NDIS participants.
- The NDIS Custodian will review the letter, have the data entered into CODIS and return a letter of confirmation (Figure 1.7) with CODIS reports indicating the entry of laboratory and user data. A copy of the letter will be forwarded to the appropriate FBI files when the procedure is complete.

**1.1.5 DNA Data Eligible for Upload to NDIS Upon Approval of NDIS Participation**

- A Upon Approval of a laboratory's request to participate in NDIS, the laboratory may upload all eligible DNA data to NDIS. Eligible DNA data shall mean the DNA data generated or reviewed by an accredited laboratory that has undergone an external quality assurance audit that has successfully completed the NDIS Audit Review process in accordance with the NDIS Operational Procedure "Review of External Audits."
- B For a laboratory approved for NDIS participation, the DNA data generated prior to the laboratory's obtaining accreditation status in accordance with Participation Requirements of this Procedure shall not be eligible for upload to NDIS. For a laboratory approved for NDIS participation, any DNA data generated during the period of an accreditation conditioned on the analysis of actual casework samples, may be eligible for upload to NDIS if an external quality assurance audit has been conducted on actual casework samples and has successfully completed the NDIS Audit Review process and subject to the approval of the NDIS Custodian.

**1.1.6 Reporting of change in status to NDIS Custodian**

- A A laboratory that is participating in NDIS shall report the following change in status to the NDIS Custodian within five business days of the change:
  - Loss of accreditation;



ARIZONA DEPARTMENT OF PUBLIC SAFETY SCIENTIFIC ANALYSIS BUREAU

**CODIS PROCEDURES MANUAL - CPM2008.1**

Originally Adopted: 10/15/98  
as CODIS Procedures Manual

Issuing Authority:  
Todd A. Griffith, Superintendent

Revision #: 14  
Effective Date: 4/4/08

- Loss of capability to perform DNA analysis at its facility; and
- Fewer than 2 fulltime DNA analysts are employed by the laboratory.

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

(Agency Letterhead)

NDIS Custodian  
FBI Laboratory  
Room 1120  
2501 Investigation Parkway  
FBI Academy Complex  
Quantico, VA 22135

(date)

Dear NDIS Custodian:

The State of Arizona requests to participate in the National DNA Index System. I will be the Designated State Official.


The following laboratories in the state will participate in NDIS:

Laboratory Name	Point of Contact	Telephone
_____	_____	_____
_____	_____	_____
_____	_____	_____

I certify that my agency and the laboratories are criminal justice agencies and therefore qualified to participate in NDIS.

(Signature of Designated State Official)  
(Title)

**Figure 1.1 Sample Letter Requesting Participation**

	ARIZONA DEPARTMENT OF PUBLIC SAFETY SCIENTIFIC ANALYSIS BUREAU	
	<b>CODIS PROCEDURES MANUAL - CPM2008.1</b>	
Originally Adopted: 10/15/98 as CODIS Procedures Manual	Issuing Authority: Todd A. Griffith, Superintendent	Revision #: 14 Effective Date: 4/4/08

(Letter will be on FBI Letterhead)

(Laboratory Name and Address)

(date)

Dear Mr./Ms. (Name of Designated State Official):

The FBI has evaluated your request to participate in NDIS. Your participation cannot be approved because your agency does not meet the NDIS criteria for a criminal justice agency.

Sincerely,

(NDIS Custodian Name)

NDIS Custodian  
FBI Laboratory

**Figure 1.2 Sample Letter Denying a Participation Request**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

(Letter will be on FBI Letterhead)

*(Laboratory Name and Address)**(date)*Dear Mr./Ms. *(Name of Designated State Official)*:

The FBI has evaluated your request to participate in NDIS. I am enclosing the following documents, which must be completed by your state:

- NDIS Memorandum of Understanding;
- CODIS Laboratory Information document for each laboratory and Documentation of Accreditation status for each laboratory;
- Copy of Laboratory's most recent External Quality Assurance Standard Audit;
- CODIS User Information for each prospective NDIS user

You may also contact me at (703) 632-8315 for questions on any of the required CODIS user or laboratory information. Please return all documents to my attention at the FBI Laboratory, Room 1120, 2501 Investigation Parkway, FBI Academy Complex, Quantico, VA 22135.

Sincerely,

*(NDIS Custodian Name)*NDIS Custodian  
FBI Laboratory

Enclosures

**Figure 1.3 Sample Letter Forwarding NDIS Memorandum of Understanding and Associated Information**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08**CODIS Laboratory Information**\_\_\_\_\_  
Name of Laboratory\_\_\_\_\_  
Address\_\_\_\_\_  
City\_\_\_\_\_  
State\_\_\_\_\_  
Zip Code\_\_\_\_\_  
Telephone Number with Area Code\_\_\_\_\_  
Laboratory ID Number (ORI Number)\_\_\_\_\_  
To be completed by the State CODIS Administrator

I certify that this laboratory has undergone the required audits in accordance with the DNA Identification Act and the *Quality Assurance Standards for Forensic DNA Testing Laboratories* that took effect on October 1, 1998, and the *Quality Assurance Standards for Convicted Offender DNA Databasing Laboratories* that took effect on April 1, 1999, and the most recent external audit was conducted on:

Date of Audit (MM/DD/YYYY) \_\_\_\_\_

I further certify that the result(s) of this audit was(were):

- ☐ No Corrective Actions Were Required  
☐ Corrective Actions Required and  
☐ Corrective Actions Taken

\_\_\_\_\_  
Signature of State CODIS Administrator\_\_\_\_\_  
Date signed (MM/DD/YYYY)**Figure 1.4 CODIS Laboratory Information Document**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

(Letter will be on FBI Letterhead)

*(Laboratory Name and Address)**(date)*Dear Mr./Ms. *(Name of Designated State Official)*:The FBI has processed your request to participate in NDIS. The date of activation for *(name of state)* was *(date)*.

Enclosed please find the CODIS reports confirming the entry of your state, participating laboratories, and user data.

Please contact me at (703) 632-8315 if you have any questions.

Sincerely,

*(NDIS Custodian Name)*NDIS Custodian  
FBI Laboratory

Enclosures

**Figure 1.5 Sample Letter Forwarding Completed Application**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

(Agency Letterhead)

NDIS Custodian  
FBI Laboratory  
Room 1120  
2501 Investigation Parkway  
FBI Academy Complex  
Quantico, VA 22135

(date)

Dear NDIS Custodian:

The State of *(name of state)* is a participant in the National DNA Index System. The state wants to add the following laboratories to NDIS:

Laboratory Name	Point of Contact	Telephone
_____	_____	_____
_____	_____	_____
_____	_____	_____

Laboratory information forms and user information forms are enclosed.

I have informed the laboratories of their responsibilities as NDIS participants.

*(Signature of State CODIS Administrator)*  
*(Title)*

Enclosures

**Figure 1.6 Sample Letter Adding a Laboratory**



**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

(Letter will be on FBI Letterhead)

*(Laboratory Name and Address)**(date)*Dear Mr./Ms. *(Name of State CODIS Administrator)*:

The FBI has processed your request to add a laboratory to NDIS.

I am enclosing the CODIS reports confirming the entry of the laboratory and user data.

Sincerely,

*(NDIS Custodian Name)*

NDIS Custodian

FBI Laboratory

Enclosures

**Figure 1.7 Sample Letter Confirming a Laboratory Addition**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted. 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08**1.2 Removal of a Laboratory from CODIS**

**1.2.1 Purpose:** The purpose of this section is to establish the procedures for removing a laboratory from CODIS.

**1.2.2 Responsibilities:** The State CODIS Administrator is responsible for collecting all information from participating laboratories within the state, maintaining copies, and forwarding required documentation to the FBI. All official correspondence related to NDIS will be between the State CODIS Administrator and NDIS Custodian.

**1.2.3 Removing a Laboratory**

A Laboratories may need to be removed from CODIS for various reasons:

- The State CODIS Administrator may shut down the CODIS participation of the state's local laboratories if they fail to meet the requirements of any part of the Memorandum of Understanding signed by the laboratories (this includes the CODIS Procedures Manual). The state will send notification to NDIS requesting that one of its participating laboratories be removed.
- The FBI may direct the removal of a laboratory. This could occur if the NDIS Audit Review Board determines that one of the laboratories in the state had significant discrepancies noted in an audit and the corrective actions taken did not warrant the laboratory's continued participation in NDIS. A laboratory could also be removed if the laboratory does not comply with the NDIS Operational Procedures and the noncompliance has been documented in an audit or site visit. This could also occur if the laboratory loses its accreditation status.
- It is the responsibility of the CODIS Administrator to notify the Designated State Official and the NDIS Custodian within five business days of the following:
  - Loss of accreditation status;
  - Loss of capability to perform DNA analysis at its facility; and
  - Fewer than 2 fulltime DNA analysts are employed by the laboratory.

B The State CODIS Administrator shall make a recommendation of whether the data associated with the laboratory should be removed.

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

- C If the state initiates the removal of a laboratory, the State CODIS Administrator shall send a letter (Figure 1.8) requesting removal of the laboratory.
- D The NDIS Custodian shall remove the laboratory from the CODIS software and send a confirmatory letter (Figure 1.9) to the state. The NDIS Custodian will also update the Laboratory Removal Log (Figure 1.10). The letters will be forwarded to the appropriate FBI files when the process is complete.
- E In the case of the FBI directing that a laboratory must be removed, the NDIS Custodian shall write to the State CODIS Administrator (Figure 1.11) explaining that the laboratory must be removed and requesting a recommendation on the disposition of the data associated with the laboratory except for cases involving removal based on accreditation status. For laboratories that are removed from NDIS because they are not accredited by October 30, 2006, the NDIS Custodian will require that all DNA data contributed to NDIS by that laboratory be removed. For laboratories that are removed from NDIS because of a loss of accreditation status, the NDIS Custodian shall determine if the DNA data contributed to NDIS by that laboratory should be removed based upon the facts and circumstances of each individual case.

**1.2.4 Removing Data**

- A Deletion of the data associated with a laboratory, if deemed necessary by the state, will be performed by the state by initiating the expungement of DNA profiles.
- B The state may start this process concurrently with removal of the laboratory. However, if the letter from the State CODIS Administrator indicates that data should be removed, the NDIS Custodian's confirmation letter (Figure 1.9) shall include a paragraph reminding the state to start expungement.

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

(Agency Letterhead)

NDIS Custodian  
FBI Laboratory  
Room 1120  
2501 Investigation Parkway  
FBI Academy Complex  
Quantico, VA 22135

(date)

Dear NDIS Custodian:

Please remove the following laboratory from the National DNA Index System:

\_\_\_\_\_  
Name of Laboratory\_\_\_\_\_  
Laboratory ID Number (ORI Number)

*One of the following paragraphs shall be included:*

I recommend that the data associated with this laboratory be retained in the National DNA Index System.

(or)

I recommend that the data associated with this laboratory be removed from the National DNA Index System. I am initiating an expungement process for the data.

(or)

I recommend that a subset of the data associated with this laboratory be removed from the National DNA Index System. (The State CODIS Administrator shall state the dates or other criteria for removal.) I am initiating an expungement process for the data.

(Signature of State CODIS Administrator)  
(Title)

**Figure 1.8 Sample Letter to Request Removing a Laboratory**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

(Letter will be on FBI Letterhead)

*(Laboratory Name and Address)**(date)*Dear Mr./Ms. *(Name of State CODIS Administrator)*:

Your request of *(date)* has been processed and laboratory *(name of laboratory)* (ORI Number (*ORI Number*)) has been removed from the National DNA Index System. The CODIS report confirming the removal is enclosed.

*If the data should be removed, the following paragraph will be included:*

Your request indicated that the data associated with this laboratory should be removed. Please initiate expungement of the data and upload the data including the expungements within 20 working days.

Sincerely,

*(NDIS Custodian Name)*

NDIS Custodian

FBI Laboratory

Enclosure

**Figure 1.9 Sample Letter Confirming the Removal of a Laboratory**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08**Laboratory Removal Log**

Laboratory Name	Laboratory ID #	Contract Laboratory (Y/N)	Will Data be Removed (Y/N)	Date	Comments

**Figure 1.10 Laboratory Removal Log**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

(Letter will be on FBI Letterhead)

*(Laboratory Name and Address)**(date)*Dear Mr./Ms. *(Name of State CODIS Administrator)*:The *(name of laboratory)* must be removed from the NDIS system.

*The NDIS Custodian will include the reason. For example, after auditing a state, the FBI determined that a laboratory received an unsatisfactory rating on an audit and the corrective actions were not appropriate; a laboratory is not complying with NDIS Operational Procedures; or the laboratory is not accredited or has lost its accreditation status.*

Please initiate the process of removing the laboratory as described in NDIS Operational Procedures, *Removal of a Laboratory from NDIS*.

Please make a recommendation on whether the data associated with this laboratory should be removed. If you recommend removal, please initiate the expungement of the data and upload the data including the expungements within 20 working days.

*(or)*

Because the laboratory is not accredited (or has lost its accreditation status), the DNA data contributed by the laboratory must be removed from NDIS. Please initiate expungement of the DNA data and perform the requested upload (including expungements) within 20 working days.

Sincerely,

*(NDIS Custodian Name)*NDIS Custodian  
FBI Laboratory**Figure 1.11 Sample Letter Directing the Removal of a Laboratory**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08**1.3 Change Information about a Laboratory**

**1.3.1 Purpose:** The purpose of this section is to establish the procedures for changing information about laboratories.

**1.3.2 Responsibilities:** The State CODIS Administrator is responsible for collecting all information from participating laboratories within the state, maintaining copies, and forwarding required documentation to the FBI. All official correspondence related to NDIS will be between the State CODIS Administrator and the NDIS Custodian.

**1.3.3 Changing Information**

- A Occasionally, information about a CODIS participant laboratory will change. To have the change reflected in CODIS, the local laboratory will contact the State CODIS Administrator in writing using a letter similar to Figure 1.12 and using a form similar to Figure 1.13 stating the changes that need to be made. Then the State CODIS Administrator will write a letter to the NDIS Custodian requesting the change (Figure 1.12) and enclosing the new CODIS Laboratory Information (Figure 1.13).
- B The NDIS Custodian will make the changes in CODIS and will respond to the State CODIS Administrator with a letter (Figure 1.14) and copy of the CODIS report. The NDIS Custodian will also update the Laboratory Change Log (Figure 1.15). The letters will be forwarded to the appropriate FBI files when the procedure is complete.
- C The change process is limited to **changes** of the information on the CODIS Laboratory Information form.



**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

(Agency Letterhead)

NDIS Custodian  
FBI Laboratory  
Room 1120  
2501 Investigation Parkway  
FBI Academy Complex  
Quantico, VA 22135

(date)

Dear NDIS Custodian:

The CODIS information about (*name of laboratory*) laboratory in the State of (*name of state*) has changed. I am enclosing revised CODIS laboratory information and request that you make these changes.

(*Signature of State CODIS Administrator*)  
(*Title*)

Enclosure

**Figure 1.12 Sample Letter Requesting a Change of Laboratory Information**



**CODIS PROCEDURES MANUAL - CPM2008.1**

Originally Adopted: 10/15/98  
as CODIS Procedures Manual

Issuing Authority:  
Todd A. Griffith, Superintendent

Revision #: 14  
Effective Date: 4/4/08

**CODIS Laboratory Information**

\_\_\_\_\_  
Name of Laboratory

\_\_\_\_\_  
Address

\_\_\_\_\_  
City


\_\_\_\_\_  
State

\_\_\_\_\_  
Zip Code

\_\_\_\_\_  
Telephone Number with Area Code

\_\_\_\_\_  
Laboratory ID Number (ORI Number)

**Figure 1.13 CODIS Laboratory Information**

	ARIZONA DEPARTMENT OF PUBLIC SAFETY SCIENTIFIC ANALYSIS BUREAU	
	<b>CODIS PROCEDURES MANUAL - CPM2008.1</b>	
Originally Adopted: 10/15/98 as CODIS Procedures Manual	Issuing Authority: Todd A. Griffith, Superintendent	Revision #: 14 Effective Date: 4/4/08

(Letter will be on FBI Letterhead)

(Laboratory Name and Address)

(date)

Dear Mr./Ms. (Name of State CODIS Administrator):

The FBI has processed your request to change information about (name of laboratory) laboratory.

I am enclosing the CODIS reports confirming the entry of the laboratory data.

Sincerely,

(NDIS Custodian Name)

NDIS Custodian

FBI Laboratory

Enclosures

**Figure 1.14 Sample Letter Confirming a Laboratory Change**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08**Laboratory Change Log**

Laboratory ID #	State	Date

**Figure 1.15 Laboratory Change Log**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08**1.4 Suspension of a Laboratory from NDIS/SDIS**

**1.4.1 Purpose:** The purpose of this document is to establish the procedures for suspending a laboratory from the State DNA Index System (SDIS) and/or National DNA Index System (NDIS). A suspension from participation in NDIS/SDIS is considered a temporary measure for laboratories that may have deficiencies identified through an audit or other issues that can be corrected by that laboratory in less than one year. To remove a laboratory from NDIS/SDIS, please refer to the procedure entitled *Removal of a Laboratory*.

**1.4.2 Responsibilities:**

- A The NDIS Custodian is responsible for ensuring the integrity and accuracy of the DNA data in NDIS. There may be instances, when, as a result of an external audit or other independent action, it is necessary to suspend a laboratory's participation in NDIS until such time as deficiencies or other issues are appropriately addressed.
- B Similarly, the State CODIS Administrator is responsible for ensuring the integrity and accuracy of the DNA data contributed to both NDIS and SDIS databases. The State CODIS Administrator may recommend the suspension of a laboratory within their state to the NDIS Custodian, be advised of the suspension of a laboratory within their state or their state laboratory by the NDIS Custodian, or recommend removal of a subset of DNA data for such laboratory.

**1.4.3 Suspension of a Laboratory from NDIS/SDIS:**

- A Suspension of a laboratory from NDIS/SDIS may be required for several reasons:
- The State CODIS Administrator or other State Official (in the event that the request relates to the state laboratory) may request that one of its participating laboratories be suspended.
  - The NDIS Custodian may direct the suspension of a laboratory as a result of that laboratory's external audit. For example: (1) Based upon the recommendation of the NDIS Audit Review Panel, the NDIS Procedures Board determines that the laboratory had significant discrepancies noted in an audit and the corrective actions taken did not warrant the laboratory's continued participation in NDIS; or (2) the NDIS Custodian determines that the laboratory had significant discrepancies noted in an audit and the laboratory had taken no corrective/remedial actions at the time such audit documentation was submitted to NDIS.

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

- The NDIS Custodian may direct suspension of a laboratory if advised of other information that warrants the suspension of that laboratory.

**B Mechanism for Suspending a Laboratory**

- If the state initiates the suspension of a laboratory, the State CODIS Administrator shall send a letter (Figure 1.16), requesting suspension of the laboratory. In response to such a request, the NDIS Custodian shall suspend the laboratory from NDIS participation and respond with a confirmatory letter (Figure 1.17) to the state. The NDIS Custodian will also update the Laboratory Suspension Log (Figure 1.18). The request and response will be forwarded to the appropriate FBI files when the process is complete.
- In the event that the NDIS Custodian determines that suspension is warranted, the NDIS Custodian shall advise the laboratory of the suspension in writing and include the reason(s) for such suspension. The State CODIS Administrator shall be copied on such notification of suspension (Figure 1.19).

**C Appeal of a Suspension Notification by the NDIS Custodian**

- A laboratory notified of a suspension by the NDIS Custodian may appeal the determination of the NDIS Custodian to the NDIS Procedures Board. Such appeal shall be forwarded to the Chair of the NDIS Procedures Board in writing within two weeks of the laboratory's receipt of the suspension notification. There is no appeal to the NDIS Procedures Board for a suspension initiated by the State CODIS Administrator.
- The NDIS Procedures Board shall review the documentation submitted by the laboratory and the NDIS Custodian and provide a determination of the appeal within two weeks of their receipt of the appeal documentation. Discussion or voting on the appeal by the NDIS Procedures Board may occur via telephone or e-mail in order to provide a timely response. The NDIS Custodian and any NDIS Board member representing a laboratory that is pursuing an appeal shall not vote on the appeal. The determination of an appeal by the NDIS Procedures Board shall be considered a final determination. The State CODIS Administrator shall be copied on the determination by the NDIS Procedures Board.
- In the event that the NDIS Procedures Board determines that suspension was not warranted and such suspension is rescinded,

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted. 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

any appropriate parties notified pursuant to Section 1.4.5 of this Procedure shall be notified of the rescission.

**1.4.4 Determination of Need to Remove Suspended Laboratory's DNA Data**

- A To determine whether the DNA data contributed by the suspended laboratory may remain at NDIS/SDIS, the NDIS Custodian shall consider the following criteria:
- If the deficiencies noted in the laboratory's audit were of a nature that would implicate the accuracy of the DNA data generated by that laboratory;
  - The time frame for deficiencies noted in the audit and the amount of DNA data contributed by the suspended laboratory during the relevant period;
  - The recommendations of the NDIS Audit Review Panel and/or NDIS Procedures Board, if appropriate;
  - The recommendation of the State CODIS Administrator, if appropriate; and/or
  - Such other information as deemed appropriate by the NDIS Custodian.
- B The NDIS Custodian shall advise the suspended laboratory in writing of the need to remove all or a portion of the laboratory's DNA data from NDIS. This notification may be concurrent with the notification of suspension (Figure 1.19). If the request for suspension originates with the State CODIS Administrator, the state may start this process concurrently with suspension of the laboratory.
- C Deletion of the data associated with a suspended laboratory shall be performed by the suspended laboratory by unmarking the DNA data for upload to NDIS and executing a DNA upload to their state or directly to NDIS, as appropriate. The suspended laboratory shall have two weeks to execute such an upload.

**1.4.5 Notification of Suspension of a Laboratory from NDIS/SDIS**

- A The NDIS Custodian shall be responsible for notifying the State CODIS Administrator of a laboratory's suspension from NDIS. The NDIS Custodian shall not be responsible for notifying all laboratories within a state of a laboratory's suspension from NDIS. The NDIS Custodian shall be responsible for notifying the appropriate Special Agent-in-Charge (SAC) of a laboratory's suspension from NDIS.

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

- B The Designated State Official shall be responsible for notifying the relevant criminal justice agencies, as appropriate, of a laboratory's suspension from NDIS. In the event that DNA data is deleted, the suspended laboratory, in consultation with the State CODIS Administrator and NDIS Custodian, as appropriate, shall be responsible for notifying other laboratories that may be affected by the deletion of such data.
- C Generally, requests from the media for information relating to a suspended laboratory shall be referred to the appropriate Designated State Official. The FBI may confirm the status of a laboratory suspended from NDIS if appropriate.

**1.4.6 Request by Suspended Laboratory to Renew Participation in NDIS/SDIS**

- A A suspended laboratory may request renewal of its participation in NDIS/SDIS if the deficiencies/issues identified as the reason for the suspension have been appropriately remediated and/or resolved.
- If the suspension was the result of deficiencies noted in an audit, all deficiencies have been addressed through appropriate corrective/remedial actions and the laboratory has undergone an external audit during the period of suspension; or
  - If the suspension was the result of other issues identified by the State CODIS Administrator, such issues have been addressed through appropriate corrective/remedial actions approved by the State CODIS Administrator and the laboratory has undergone an external audit during the period of suspension; and/or
  - Such other actions as deemed appropriate by the NDIS Custodian. For example, in addition to a recent external audit, the NDIS Custodian may require that the suspended laboratory agree to a site visit by the FBI or other designated personnel prior to renewing the laboratory's participation in NDIS.
- B A suspended laboratory seeking to renew its participation in NDIS shall address such request, similar to Figure 1.20, to the NDIS Custodian. This request shall include all appropriate documentation, including, but not limited to, audit documentation containing corrective actions.
- C The NDIS Custodian shall consult with the State CODIS Administrator, the NDIS Audit Review Panel and the NDIS Procedures Board, as appropriate, in determining whether a suspended laboratory may renew its participation in NDIS.



**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

- D It may be determined that the audit documentation submitted by a suspended laboratory shall be reviewed by an NDIS Audit Review Panel. If such a review is required, the suspended laboratory's request shall be acknowledged and the laboratory advised of the review in accordance with the NDIS Procedure entitled *Review of External Audits*. At the conclusion of such review, the NDIS Audit Review Panel will include a recommendation concerning the suspended laboratory's participation in NDIS.

**1.4.7 Determination of Request by Suspended Laboratory for Participation in NDIS**

- A The NDIS custodian shall be responsible for determining requests by suspended laboratories for participation in NDIS. The NDIS Custodian may impose conditions on a suspended laboratory's participation in NDIS. For example, as a condition of granting a request for participation, the NDIS Custodian may require that a laboratory agree to undergo an external audit within a specified time frame. The failure of a laboratory to comply with such a condition could jeopardize its continued participation in NDIS.
- B In the event that the NDIS Custodian grants a suspended laboratory's request for participation in NDIS and that laboratory had removed all or a portion of its DNA data from NDIS, the NDIS Custodian shall advise the laboratory if such DNA data can be uploaded to NDIS. The NDIS Custodian may impose conditions on the uploading of DNA data from a previously suspended laboratory. For example, the NDIS Custodian may require that the laboratory have a qualified DNA analyst from an external NDIS participating laboratory review the DNA data before it may be uploaded to NDIS. Documentation of such a review shall be in the form requested by the NDIS Custodian. The failure of a laboratory to comply with such a condition could jeopardize its continued participation in NDIS.
- C In the event that the NDIS Custodian denies a request by a suspended laboratory to participate in NDIS, the suspended laboratory may appeal that determination to the Deputy Assistant Director of the FBI Laboratory. The appeal shall be in writing and commenced within two weeks of receipt of the denial by the NDIS Custodian. The Deputy Assistant Director shall have two weeks to determine the appeal. The decision of the Deputy Assistant Director shall be final.

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

(Agency Letterhead)

NDIS Custodian  
FBI Laboratory  
Room 1120  
2501 Investigation Parkway  
FBI Academy Complex  
Quantico, VA 22135

(date)

Dear NDIS Custodian:

Please suspend the following laboratory from the National DNA Index System:

---

Name of Laboratory

---

Laboratory ID Number (ORI Number)

I recommend that the DNA data associated with this laboratory be retained in the National DNA Index System.

(or)

I recommend that the DNA data associated with this laboratory be removed from the National DNA Index System. I will process an upload with the DNA data deleted as soon as possible (or include a specific date.)

(or)

I recommend that a subset of the DNA data associated with this laboratory be removed from the National DNA Index System. (The State CODIS Administrator shall state the dates or other criteria for removal.) I will process an upload with the DNA data deleted as soon as possible (or include a specific date).

If you have any questions concerning this request, please contact me at (phone number).  
Thank you for your assistance in this matter.

Sincerely,

(Signature of State CODIS Administrator)  
(Title)

**Figure 1.16 Request by State CODIS Administrator to Suspend Laboratory from Participating in NDIS**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

(Letter will be on FBI Letterhead)

*(Laboratory Name and Address)**(date)*Dear Mr. /Ms. *(Name of State CODIS Administrator)*:

Your request dated *(date of request)* has been received and *(name of laboratory)* with *(ORI Number)* has been suspended from the National DNA Index System. The CODIS report confirming the suspension is enclosed.

*If the laboratory's DNA data should be removed, the following paragraph will be included:*

Your request indicated that (all or a subset of) the DNA data associated with this laboratory should be removed. Please delete the DNA data for the suspended laboratory and execute an upload with these deletions as soon as possible (or include a specific date).

Please do not hesitate to contact me at (703) 632-8315 if you have any questions. Thank you for your assistance in this manner.

Sincerely,

*(NDIS Custodian Name)*

NDIS Custodian

FBI Laboratory

Enclosure

**Figure 1.17 Sample Letter Confirming the Suspension of a Laboratory**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08**Laboratory Suspension (from NDIS) Log**

<b>Laboratory Name</b>	<b>Laboratory ID#</b>	<b>Date Of Suspension</b>	<b>Data to be Removed (Y/N)</b>	<b>Confirm Data was Removed (date)</b>	<b>Comments</b>

**Figure 1.18 Laboratory Suspension (from NDIS) Log**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

(Letter will be on FBI Letterhead)

(Laboratory Name and Address)

(date)

Dear Mr. /Ms. (Name of CODIS Administrator at Laboratory to be Suspended):

This is to inform you that your laboratory is being suspended from the National DNA Index System (NDIS) effective (include a specific date).

(The NDIS Custodian will include the reason for the laboratory's suspension. For example, a review of the laboratory's external audit indicated there were serious deficiencies that were not addressed by the laboratory or were not addressed appropriately by the laboratory.)

*If it is determined that the suspended laboratory must remove all or a portion of its DNA data from NDIS, the following paragraph will be included:*

It has also been determined that the data contributed to NDIS by your laboratory must be removed during the period of your suspension. Accordingly, please unmark all of your laboratory's DNA data and process an upload to your State DNA Index System (SDIS) (or NDIS) as soon as possible (or include a specific date).

Your laboratory may request to participate in NDIS (once the deficiencies are appropriately corrected/remediated and/or issues resolved). Please refer to the NDIS Procedure entitled *Suspension of a Laboratory from NDIS* for specific information on requesting renewed participation in NDIS.

Please do not hesitate to contact me at (703) 632-8315 if you have any questions. Thank you for your assistance in this matter.

Sincerely,

(NDIS Custodian Name)

NDIS Custodian

FBI Laboratory

cc: State CODIS Administrator

**Figure 1.19 Sample Letter Notifying Laboratory Suspension**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

(Agency Letterhead)

NDIS Custodian  
FBI Laboratory  
Room 1120  
2501 Investigation Parkway  
FBI Academy Complex  
Quantico, VA 22135

(date)

Dear NDIS Custodian:

This is a request to renew our laboratory's participation in the National DNA Index System (NDIS). Since the notification of the suspension of our laboratory on (date), the (name of laboratory) has taken the following steps to address the deficiencies noted in our external audit conducted on (date) and/or resolve issues identified in the correspondence from the NDIS Custodian on (date).

- List items, such as corrective/remedial actions to address audit findings
- Recent external audit
- Etc.

We are requesting that our laboratory be permitted to participate in NDIS and upload our DNA data as soon as possible (or include a specific date).

Please feel free to contact me at (phone number) if you have any questions or need additional information. Thank you for your assistance.

Sincerely,

(Name)

(Title)

(Laboratory)

Enclosures

cc: State CODIS Administrator

**Figure 1.20 Sample Letter Requesting Renewed Participation in NDIS**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08**1.5 Written Request for Inquiries to the FBI CODIS Unit by a Laboratory**

1.5.1 The request forms are available on the CODIS Web Site and can be sent directly to the FBI CODIS Unit.

1.5.2 Requests should be approved by the laboratory's CODIS administrator.

**1.6 Security Requirements****1.6.1 Personnel Security Requirements****A Access Restricted to CODIS Users**

- The NDIS Participating Laboratory shall be responsible for ensuring that only CODIS users have access to CODIS. A CODIS user is a government employee who: (1) has login access to the CODIS (i.e., state or local) system and is authorized to read, add, modify or delete DNA records in CODIS; or (2) is a qualified DNA analyst responsible for producing DNA profiles stored in NDIS. Information Technology (IT) personnel within the laboratory that have login access to CODIS for software maintenance purposes shall be considered CODIS users and shall satisfy all requirements for a CODIS user in accordance with Section 3.1.3.
- The NDIS Participating Laboratory is responsible for conducting its own background investigation of its employees, in accordance with applicable state or local regulations. Additionally, the NDIS Participating Laboratory shall ensure that it obtains properly completed fingerprint cards for each proposed CODIS user and forwards the fingerprint cards along with the other required documents to the NDIS Custodian in accordance with Section 3.1.3.
- IT personnel not affiliated with the NDIS participating laboratory and requiring access to computers with the CODIS software installed shall be permitted such access only under the direct and constant supervision of the CODIS Administrator or CODIS user.

**B CODIS Server/Terminal Password Requirements**

- The NDIS Participating Laboratory shall ensure that each CODIS user has a CODIS user account.
- The NDIS Participating Laboratory shall also ensure that all CODIS servers/terminals are set to lock the screen after ten

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

minutes of non-use and require the CODIS user's password to unlock the screen.

- The NDIS Participating Laboratory shall train its CODIS users to lock their screen or log off before moving to an area in which the user can no longer visually observe the CODIS server/terminal.
- Each CODIS user shall use his or her individual username and password to login to the terminal containing the CODIS software. CODIS users shall not be permitted to share user names or passwords.
- Modification of CODIS data shall be made accessible only to CODIS users. For terminal/workstations used for purposes other than executing CODIS applications, computer security policy shall prohibit access to modifications of CODIS data.
- Concurrent logins (logging onto two separate terminals or a server and terminal with the same user name and password simultaneously) shall be prohibited on computers that run CODIS applications. However, a CODIS Administrator (for administrative purposes only) shall be permitted to log onto multiple computers concurrently if the computer(s) not directly in use is locked and requires a password for use.
- The NDIS Participating Laboratory shall ensure that each CODIS user changes his/her password to CODIS at least once every six months.

**C Physical Security Requirements**

- Physical security is defined as having controlled access to the laboratory.
- No wireless servers or routers are authorized.
- The NDIS Participating Laboratory shall be responsible for providing adequate physical security for the CODIS servers and terminals against any unauthorized personnel gaining access to the computer equipment or to any of the stored data. Locating a CODIS server in a common "data center" is permitted as long as the data center itself has physical security.
- The NDIS Participating Laboratory shall ensure that third party contractors, if any, have adequate physical security measures in place to protect against unauthorized personnel gaining access to DNA samples or any DNA data.

**D CODIS Computer Software Security Responsibilities**

- The FBI shall provide the NDIS Participating Laboratory with a listing of computer hardware and software requirements. The



**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

- NDIS Participating Laboratory shall be responsible for ensuring that all Commercial Off The Shelf (COTS) software loaded on a CODIS server or terminal is appropriately maintained.
- The NDIS Participating Laboratory shall also be responsible for ensuring that all security related COTS software upgrades, patches, and fixes are applied in a timely manner.
  - Approved CODIS Software Enhancements
    - From time to time, the FBI will make available, via the secure CODIS Intranet site, enhancements to the CODIS software for installation by the NDIS Participating Laboratory. The CODIS software enhancements shall be downloaded to each CODIS computer from the CODIS secure Intranet site and installed by the NDIS Participating Laboratory in accordance with instructions provided by the FBI. Alternatively, the CODIS software enhancements may be downloaded to a security scanned portable media device and loaded onto each CODIS terminal either directly or via a network.
    - CODIS software enhancements will be tested to ensure that they operate correctly in a CODIS environment. CODIS software enhancements will not be tested to ensure compatibility with any other software programs that may have been installed by an NDIS Participating Laboratory, such as a laboratory information management system or sample inventory system.
  - Approved (COTS) Software Updates
    - The FBI may also make available software updates for COTS software programs that have been tested for operability with the CODIS software. These software updates will be tested to ensure that they will not affect the CODIS software or the security of the CODIS software. These COTS software updates will not be tested to ensure compatibility with any other software programs that may have been installed by an NDIS Participating Laboratory.
    - The approved COTS software updates are provided, as a convenience, for the NDIS Participating Laboratories. The FBI makes no assurance or guarantees with respect to the tested software updates other than their operability with the CODIS software. Installation of the tested software updates is at the discretion of the NDIS Participating Laboratory and is the sole responsibility of the NDIS Participating Laboratory.
    - The FBI shall provide installation instructions for the tested COTS software updates.

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

- **CODIS Backups and Contingency Plans**
  - The NDIS Participating Laboratory shall be responsible for conducting backups of their CODIS data on a routine schedule no less than once per week. On a routine basis, but in no event, less than once a month, the CODIS backup media shall be stored at a secure physical location other than the NDIS Participating Laboratory.
    - ⇒ For Example, acceptable secure physical locations other than the NDIS participating laboratory include another NDIS participating laboratory, another building within the NDIS laboratory's organization or agency that is subject to the same security requirements, or a bank (safety deposit box).
  - Electronic media on which CODIS data is stored for backups shall be maintained in a lockable container.
  - The FBI recommends that each NDIS Participating Laboratory have a documented contingency or disaster plan for the operation of CODIS in the event of an emergency and/or catastrophic loss. The documented contingency or disaster plan for CODIS operations may be included in, or part of, the laboratory's contingency or disaster plan.

**E Computer Network Security Requirements**

- The CODIS software shall be installed on a computer that does not access the Internet unless prior written approval for the use of a firewall has been obtained from the FBI. In the event that the CODIS software is installed on a computer that does access the Internet, the NDIS Participating Laboratory shall be responsible for installing a firewall solution appropriate for ensuring the security of the CODIS software and system. The determination of an appropriate firewall solution shall be at the sole discretion and subject to approval of the FBI. Any NDIS Participating Laboratory seeking to install CODIS on a computer that will access the Internet shall notify the FBI at least 30 days in advance of any planned installation for approval and use of an appropriate firewall. A sample letter requesting approval is shown in Figure 1.21 and a sample response is shown in Figure 1.22.
- Additionally, NDIS Participating Laboratories shall notify the FBI at least 30 days in advance of any changes to an approved firewall and/or its configuration. The NDIS Participating

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

Laboratory shall be responsible for the maintenance of a FBI approved firewall.

**1.7 General Responsibilities**

1.7.1 The purpose of this section is to define the responsibilities of the FBI and the NDIS Participating Laboratories governing their operation of and participation in the National DNA Index System (NDIS).

**1.7.2 Administrative Responsibilities**

A In its administration of NDIS, the FBI shall be responsible for the following:

- Continuing to hold an unrestricted license for CODIS software and providing maintenance for that software.
- Implementing all necessary system-wide changes to CODIS and NDIS.
- Preparing and distributing guidelines for utilization of CODIS and NDIS.
- Determining suitability of proposed CODIS system enhancements.
- Installing and providing support for NDIS, which includes installation of SDIS and LDIS software, training of appropriate personnel from NDIS Participating Laboratories, issuing software user documentation, and providing a Help Desk accessible via phone.
- Complying with the DNA Identification Act of 1994 as amended.

B To participate in NDIS, a NDIS Laboratory shall be responsible for the following:

- Appointing a CODIS Administrator to serve as the central point of contact with the FBI and be responsible for the use of the CODIS software and submission of DNA data to the National DNA Index. The CODIS Administrator shall be authorized to author and sign all correspondence and required reports for the FBI and NDIS Custodian.
- Suggesting software enhancements for increased user efficiency to the FBI.
- Recommending procedural changes to the FBI.
- Complying with FBI requirements for safeguarding CODIS against unauthorized use, including providing an appropriate

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

and secure site for the CODIS computer as specified in the Security Requirements Procedure.

- Obtaining and maintaining all computer hardware and commercial software necessary to access NDIS and properly operate the CODIS system.
- Designating appropriate personnel for CODIS Training.
- Ensuring that CODIS users are notified of and provided access to revised NDIS Operational Procedures and other documentation necessary to properly participate in NDIS.
- Complying with the DNA Identification Act of 1994, as amended, and applicable state law governing the establishment and operation of the state DNA database.
- Designating one agency within each state to be responsible for ensuring that conditions and standards for NDIS participation are met and for executing the Memorandum of Understanding for Participation in NDIS with the FBI.

### 1.7.3 Operational Responsibilities

A In its operation of NDIS, the FBI shall be responsible for the following:

- Developing operational procedures in cooperation with the NDIS Procedures Board, to govern system participation, access, data acceptance, uploads and searching.
- Issuing CODIS Training Manuals to those persons attending CODIS training.
- Establishing system-wide processing priorities and revising as necessary.
- In consultation with the NDIS Participating Laboratory, scheduling a time period for the initial uploading of DNA records by the NDIS Participating Laboratory and establishing an annual schedule for DNA record uploads for NDIS Participating Laboratories.
- Monitoring the NDIS input and verification processes of Participating Laboratories and personnel authorized to enter DNA records into or access NDIS (referred to as "CODIS users").

B To participate in NDIS, the NDIS Laboratory shall be responsible for the following:

- Complying with all NDIS Operational Procedures for entering, verifying and purging DNA records, and ensuring that CODIS users who are authorized to enter or modify DNA records or

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

have access to NDIS are employees of the state or local government.

- Ensuring that appropriate personnel are provided copies of, understand and abide by the Memorandum of Understanding for Participation in NDIS, the NDIS Operational Procedures and the CODIS Administrator's Handbook.
- Identifying, in writing and in a form prescribed by the FBI, CODIS users and ensuring that access to CODIS is limited to only CODIS users.
- Producing appropriate system reports as required by the FBI.
- Monitoring and ensuring compliance with the FBI Director's Quality Assurance Standards and NDIS Operational Procedures by third parties under contract to provide services to the NDIS Participating Laboratory in connection with DNA records, such as the collection and analysis of DNA samples.

**1.7.4 Reporting and Record Keeping Responsibilities**

A In its operation of NDIS, the FBI shall be responsible for providing NDIS Participating Laboratories with examples of forms for the reporting of information to the FBI. The NDIS Participating Laboratory shall be responsible for reporting the following to the FBI:

- On a monthly basis, confirmed matches at NDIS and SDIS
- On an annual basis, data requested for the CODIS survey, the Annual Update of the Points of Contact, Audit Information, and the CODIS Users who have completed the annual DNA Records Acceptable at NDIS training.

B The NDIS Participating Laboratory shall also be responsible for maintaining records of CODIS users, including reports concerning proficiency testing, and any other reports or audits required by the FBI for a period of ten years.

**1.7.5 Responsibility for Publicity or Media Contacts/Inquiries**

A The FBI shall not publicly disclose or make any public statements regarding information obtained from or included in CODIS and/or NDIS that would directly or indirectly identify unapprehended suspects without the prior approval of the investigating agency. All media contacts/inquires concerning specific NDIS issues shall be referred to the FBI's Public Information Office. Media Inquiries for specific NDIS documents, such as the NDIS Operational Procedures, shall be directed to the NDIS Custodian or the FBI's Public Information Office.

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

- B The NDIS Participating Laboratory, if it is not the investigating agency, shall not publicly disclose or make any public statements regarding information obtained from or included in CODIS and/or NDIS that would directly or indirectly identify unapprehended suspects without the prior approval of the investigating agency.

**1.7.6 Responsibility for Certain Costs**

- A The FBI shall be responsible for the following costs associated with operation of NDIS:

- CODIS software, including system upgrades and enhancements;
- Maintenance for the CODIS software;
- Post-installation demonstration and training for CODIS participating laboratories;
- Copies of necessary documentation for CODIS software;
- Help Desk for CODIS users.

- B The NDIS Participating Laboratory shall be responsible for the following costs associated with their participation in NDIS:

- Salary and fringe benefits for personnel employed to operate the CODIS system;
- Physical space (and, if necessary, any modifications thereto) to accommodate the CODIS system, including operating expenses in connection with that space, such as electric, heat, and air conditioning;
- Computer hardware and commercial software (including any necessary maintenance) needed to access NDIS and properly operate the CODIS system;
- Travel-related expenses for a one week training course at the CODIS training facility.

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08*(date)*

NDIS Custodian  
CODIS Unit  
FBI Laboratory  
2501 Investigation Parkway  
FBI Academy Complex  
Quantico, VA 22135

Dear NDIS Custodian:

This is to notify you that the *(name of laboratory)* wishes to install CODIS on a computer that has access to the Internet. We propose the following firewall solution:

The Firewall's configuration details (e.g. the types of network traffic/files allowed) are as follows:

In accordance with the NDIS Operational Procedure "Security Requirements", we are requesting approval to use this firewall configuration for the CODIS computer that accesses the Internet.


If you have any questions, please contact *(name of local administrator)* at *(phone and/or e-mail)*. Thank you for consideration of this request.

Sincerely,

---

*(Laboratory Administrator)*  
*(Title)*  
*(Laboratory Name)*

**Figure 1.21 Sample Letter to FBI Requesting Approval of Firewall**

	ARIZONA DEPARTMENT OF PUBLIC SAFETY SCIENTIFIC ANALYSIS BUREAU	
	<b>CODIS PROCEDURES MANUAL - CPM2008.1</b>	
Originally Adopted: 10/15/98 as CODIS Procedures Manual	Issuing Authority: Todd A. Griffith, Superintendent	Revision #: 14 Effective Date: 4/4/08

*(Laboratory Name and Address)*

*(date)*

Dear Dr./Mr./Ms. *(Name of Laboratory Administrator)*:

This is in response to your request for approval of the use of a firewall in connection with a CODIS computer that accesses the Internet.

The proposed firewall configuration described in your letter dated *(date)*, specifically *(insert the name and description of the firewall as described in the request for approval)* is approved for use in connection with a CODIS computer.

or

The following additional information is needed concerning the firewall described in your letter dated *(date)*, in order to complete the review of your request:

---



---



---

or

The firewall described in your letter dated *(date)*, specifically *(insert the name and description of the firewall as described in the request for approval)* is not appropriate for protection of the CODIS software for the following reasons:

---



---



---

If you have any questions, please feel free to contact me at 703-632-7576. Thank you for your assistance in this matter.

Sincerely,

*(NDIS Custodian Name)*  
NDIS Custodian  
FBI Laboratory

**Figure 1.22 Sample Response Letter from NDIS Custodian**



**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08**2 CJIS WAN Operational Procedures**

**2.1 Purpose:** The purpose of this document is to define procedures by which states can obtain Criminal Justice Information Services Wide Area Network (CJIS WAN) connectivity to the National DNA Index System (NDIS).

**2.2 FBI Responsibilities:**

**2.2.1** The FBI is responsible for tracking CODIS and NDIS participating laboratories requiring CJIS WAN connectivity in order to participate in the National Index.

**2.2.2** The FBI is responsible for the installation and maintenance of the CJIS WAN router as well as any necessary upgrades to the router. The FBI will pay the costs associated with the reinstallation of the CJIS WAN router in connection with one laboratory move within a five year period.

**2.3 Participating Laboratory Responsibilities:**

**2.3.1** Participating laboratories are responsible for responding to requests for contact and other information by the FBI and identifying a secure space accessible only to authorized laboratory personnel for the CJIS WAN router in order to ensure a timely CJIS WAN installation.

**2.3.2** Participating laboratories shall not modify, add, tamper with or reconfigure the CJIS WAN router.

**2.3.3** Additionally, participating laboratories with an existing CJIS WAN connection shall notify the State CODIS Administrator at least six months in advance of any move to a new location to ensure continued connectivity to the National Index. The State CODIS Administrator or Local CODIS Administrator will notify the NDIS Custodian in writing (Figure 2.1) informing the NDIS Custodian of the move. Laboratories that change location more than once within a five year period shall be responsible for the costs of the reinstallation of CJIS WAN connectivity.

**2.3.4** Laboratories that have a CJIS WAN connection and that are being closed or shut down shall notify the State CODIS Administrator in writing, using a letter similar to Figure 2.1, as soon as possible or at least thirty days in advance of the closure, whichever is earlier. The State CODIS Administrator will notify the NDIS Custodian in writing (Figure 2.1) informing the NDIS Custodian of the closure.

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

- 2.3.5 The FBI recommends that participating laboratories obtain a firewall between their own laboratory network and the CJIS WAN/CODIS network as an additional security precaution. Laboratories may contact the designated representative of the CODIS contractor concerning recommendations for such a firewall.

**2.4 CJIS WAN Installation Process**

- 2.4.1 The FBI maintains a listing of CODIS laboratories, noting whether or not a CODIS laboratory has CJIS WAN connectivity. This listing is routinely reviewed by the NDIS Custodian and, on a regular basis, forwarded to the Criminal Justice Information Services (CJIS) Division of the FBI, with a notation of the CODIS laboratories needing CJIS WAN connectivity.
- 2.4.2 Representatives of the CJIS Division review the list provided by the NDIS Custodian and will contact a participating laboratory directly concerning the CJIS WAN installation. Components of the CJIS WAN include a rack, a cisco router and a cylink encryptor. Participating laboratories seeking CJIS WAN connectivity must identify a secure space within the laboratory accessible only to authorized laboratory personnel. CJIS Division personnel may make a laboratory site visit to determine the physical location of the router and consult with the technical point of contact.
- 2.4.3 CJIS Division or other designated personnel will schedule the installation of the CJIS WAN router directly with the participating laboratories. Issues relating to the CJIS WAN installation should be directed to the CJIS Division point of contact at (304) 625-3664. Once the installation is completed, the designated representative of the CODIS contractor will contact the laboratory to configure the laboratory's TCP/IP addresses and test the connectivity.
- 2.4.4 Once connectivity has been established, any issues relating to the CJIS WAN should be directed to the CODIS Program Manager at (703) 632-8315. Participating laboratories should not attempt to correct connectivity issues/problems without consulting the CODIS Program Manager who will consult with the CJIS Division.
- 2.4.5 Additional information relating to CJIS WAN and answers to Frequently Asked Questions (FAQs) can be found on the CODIS web site.

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

(Agency Letterhead)

NDIS Custodian  
FBI Laboratory  
Room 1120  
2501 Investigation Parkway  
FBI Academy Complex  
Quantico, VA 22135

(date)

Dear NDIS Custodian:

The (*name of NDIS participating laboratory*) is moving to a new location on or about (*date*). Our new laboratory address and contact person concerning the move and connection of the CJIS WAN router are listed below.

(or)

The (*name of NDIS participating laboratory*) is closing on or about (*date*). Information on who to contact about the closing and the return of the CJIS WAN router is listed below.

Point of Contact: \_\_\_\_\_

Agency: \_\_\_\_\_

(New) Address: \_\_\_\_\_

Telephone: \_\_\_\_\_

Fax: \_\_\_\_\_

E-mail if available: \_\_\_\_\_

Laboratory ID#: \_\_\_\_\_

Thank you for your assistance in this matter.

(Signature of State CODIS Administrator)  
(Title)

**Figure 2.1 Sample Notification of Laboratory Move/Closure**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08**3 CODIS Users****3.1 Add a CODIS User from a Participation Laboratory to CODIS**

**3.1.1 Purpose:** The purpose of this section is to define the procedures required to add a CODIS user to CODIS.

**3.1.2 Responsibilities:** The State CODIS Administrator is responsible for collecting all information from participating laboratories within the state, maintaining copies, and forwarding required documentation to the FBI. All official correspondence related to NDIS shall be between the State CODIS Administrator and the NDIS Custodian.

**3.1.3 Adding a State or Local CODIS User to NDIS**

- A** **CODIS Users** are defined as government employees who: (1) have login access to the CODIS (i.e., state or local) system and are authorized to read, add, modify or delete DNA records in CODIS; or (2) qualified DNA analysts who are responsible for producing the DNA profiles stored in CODIS.
- B** Adding state or local CODIS users to the National DNA Index System can occur under two circumstances.
- CODIS Users may be added when a state begins to participate in NDIS
  - CODIS Users may be added periodically as states add new CODIS users
- C** There are two other categories of CODIS users that are required to be added to NDIS although they are not authorized to read, add, modify or delete DNA records in CODIS: (1) CODIS Contract user; and (2) CODIS IT user.
- D** To add a CODIS user, a local laboratory will notify the State CODIS Administrator in writing using a letter similar to Figure 3.1 requesting the addition. The State CODIS Administrator will send the local laboratory the following forms:
- Privacy Act Explanation (2 copies each user)
  - Fingerprint (10 print ) cards (2 copies each user)
  - Background Data Information Form (each user)

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

E The above documentation along with the following documents must be completed and returned to the State CODIS Administrator:

- CODIS User Information Form (for each user) (Figure 3.2)
- External Proficiency Testing Document (for each Qualified Analyst)
- Audit Certification Form and documentation of accreditation status (only if entire lab is being added)
- Recommended - A copy of citizenship paperwork or a court order (only if the user is a citizen by naturalization or is a registered alien)

F The State CODIS Administrator will send a letter (Figure 3.1) to the NDIS Custodian requesting the addition. The letter must be accompanied by:

- FD-484: Privacy Act Explanation (one copy retained with State CODIS Administrator);
- FD-258: Fingerprint (10 print) card, two copies;
- FD-816: Background Data Information Form;
- CODIS User Information Form;
- Audit Form, Audit Certification Letter, and documentation of accreditation status (only if entire lab is being added)
- Recommended - A copy of citizenship paperwork or a court order (only if the user is a citizen by naturalization or is a registered alien)

G The letter shall include a certification by the State CODIS Administrator that all qualified DNA analysts being added will undergo external proficiency testing as required by the DNA Identification Act and the NDIS Memorandum of Understanding.

H The NDIS Custodian will review the application and will initiate security checks on the prospective users.

- Approval to Access CJIS WAN for Training Purposes
  - Once the CODIS Unit is notified that the individual has passed the FBI's security check, the CODIS Unit shall establish a user account in the CODIS training database on the CJIS WAN. The laboratory may assign the prospective CODIS user a CODIS login for training purposes.
  - The CODIS Administrator shall be notified by e-mail that the individual has been cleared to take the DNA Records Acceptable at NDIS training. The individual

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

shall have thirty days to successfully complete this training.

- No individual shall be permitted to access the CJIS WAN and/or CODIS by his/her laboratory until the laboratory is notified that the individual has passed the FBI's security check.
- No individual who has passed the FBI security check and been granted access to the CJIS WAN and/or CODIS shall enter, add, modify, or delete any DNA records in CODIS until he/she has been approved as a CODIS user and added to NDIS.
- **Approved CODIS User at NDIS**
  - Upon successful completion of the DNA Records Acceptable at NDIS training, the individual shall be added as a CODIS user to NDIS and a confirmation letter, (3), will be sent to the State.
  - If an individual did not pass the FBI's security check, a letter denying the application shall be sent by the FBI Security Division to the individual's laboratory. Copies of all correspondence will be forwarded to the appropriate FBI files.

**I Change of Name for CODIS User**

- In the event of a name change by a CODIS user due to change in marital status, the State CODIS Administrator shall process a request to add a CODIS user with the new name and include a Start Date for the CODIS user (CODIS User Information, Figure 3.2). The additional documentation referenced above (such as fingerprint card and annual review form) is not required for a change in name. Additionally, the State CODIS Administrator shall forward a CODIS User Information form in accordance with the CODIS Procedure "Removal of a CODIS User from a Participating Laboratory" including a Stop Date for the name previously used by the CODIS user.

**3.1.4 Adding Contract Laboratory Users to CODIS**

- A Because qualified DNA analysts at contract laboratories may be associated with DNA profiles stored in CODIS, they must be added as CODIS contract users.
- B Because these users do not have physical access to CODIS, they do not need a security check, although the states are not precluded from performing background checks on their own.

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

- C CODIS Contract users are not authorized to read, add, modify or delete DNA records in CODIS and therefore are not required to complete the DNA Records Acceptable at NDIS training.
- D To add a CODIS contract user, the local laboratory will require the contract laboratory to complete a CODIS User Information Form (Figure 3.2) and a Qualified DNA Analyst External Proficiency Testing Document for each analyst who will be associated with any DNA profile stored in their CODIS system. They will also require a Proficiency Certification Letter, an Audit Certification Letter, and an Audit Certification Document. Upon receipt of the above documentation, a letter requesting the addition of the contract user(s) similar to Figure 3.1, along with a copy of the documentation will be sent to the State CODIS Administrator. The documentation needed for the user(s) addition will be forwarded to the NDIS Custodian. Copies of the letters will be forwarded to the appropriate FBI files when the procedure is complete.

**3.1.5 Adding Information Technology (IT) Users to CODIS**

- A NDIS participating laboratories that employ IT personnel who are permitted access to CODIS for computer hardware/software and telecommunications maintenance purposes shall add such personnel as CODIS IT users.
- B Because these users have physical access to CODIS, they require a security check by the FBI (in addition to any security check performed by the employing governmental agency) and submission of the appropriate forms.
- C To add a CODIS IT user, a local laboratory will notify the State CODIS Administrator in writing using a letter similar to Figure 3.1 requesting the addition. The State CODIS Administrator will send the local laboratory the following forms:
- Privacy Act Explanation (2 copies each user)
  - Fingerprint (10 print ) cards (2 copies each user)
  - Background Data Information Form (each user)
- D The above documentation along with the following documents must be completed and returned to the State CODIS Administrator:
- CODIS User Information Form (for each user)

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

- Recommended - A copy of citizenship paperwork or a court order (only if the user is a citizen by naturalization or is a registered alien)
- E The State CODIS Administrator will send a letter (Figure 3.1) to the NDIS Custodian requesting the addition. The letter must be accompanied by:
- FD-484: Privacy Act Explanation (one copy retained with State CODIS Administrator);
  - FD-258: Fingerprint (10 print) card, two copies;
  - FD-816: Background Data Information Form;
  - CODIS User Information Form;
  - Recommended - A copy of citizenship paperwork or a court order (only if the user is a citizen by naturalization or is a registered alien)
- F Once the CODIS Unit is notified that the individual has passed the FBI's security check, the CODIS Administrator shall be notified by e-mail that the individual has been approved as a CODIS IT user.

**3.1.6 Grandfathering Past Users**

- A When a state initiates participation in NDIS, it may have data in its CODIS system that was generated by users who will not be active NDIS users, but who must be administratively added as users so the data will be accepted. In this case, the local laboratory will send a letter similar to Figure 3.4 to the State CODIS Administrator stating who is to be grandfathered in and verifying that their data is acceptable. A CODIS User Information Form for each CODIS user with a stop date set for the user will be included with the letter. The State CODIS Administrator will send a letter similar to Figure 3.4 that lists these users and verifies that their data is acceptable to the NDIS Custodian. The letter will be accompanied by CODIS user information (Figure 3.2) for each user with a stop date set for the user.



**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

(Agency Letterhead)

NDIS Custodian  
FBI Laboratory  
Room 1120  
2501 Investigation Parkway  
FBI Academy Complex  
Quantico, VA 22135

(date)

Dear NDIS Custodian:

Please add the following users to the National DNA Index System.

Name	Type of User (State, Local, Contract or IT)
_____	_____
_____	_____
_____	_____

For each State/Local user, I have enclosed the following: a completed FD-484, FD-258 (2 copies), FD-816, and a CODIS user information form.

For each contract laboratory user, I have enclosed a completed CODIS user information form.

For each CODIS IT user, I have enclosed the following: completed FD-484, FD-258 (2 copies), FD-816 and a CODIS user information form.

For all qualified DNA analysts that are included in this application, I certify that the analyst(s) will undergo semiannual external proficiency testing by a DNA proficiency testing program meeting the FBI Director's Quality Assurance Standards.

(Signature of State CODIS Administrator)  
(Title)

Enclosures

**Figure 3.1 Sample Letter to Request Adding a CODIS User**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08**CODIS User Information**\_\_\_\_\_  
User Name (First)\_\_\_\_\_  
(Middle Initial)\_\_\_\_\_  
(Last)\_\_\_\_\_  
Title\_\_\_\_\_  
Laboratory ID (ORI number)\_\_\_\_\_  
CODIS User ID<sup>1</sup>\_\_\_\_\_  
EMail ID\_\_\_\_\_  
Telephone Number with Area Code\_\_\_\_\_  
CODIS Start Date<sup>2</sup>

Is this user a qualified DNA analyst?

Yes No

Is this a CODIS contract user?

Yes No

Is this a CODIS IT user?

Yes No

Is this user currently performing DNA analyses or accessing CODIS?

Yes No If No, list the Stop Date for the user: \_\_\_\_\_

Is this a name change for a previous CODIS user?

Yes No

<sup>1</sup> Note – The CODIS User ID would be the name entered into CODIS as the User ID. Each user within a laboratory must have a unique User ID. User IDs can be up to 20 characters in length and may contain any uppercase or lowercase characters except the following: " \ [ ] ; | = , + \* ? < > . The User ID is not case sensitive.

<sup>2</sup> The CODIS Start Date is the date this CODIS User is entered into CODIS.

**Figure 3.2 CODIS User Information Form**



ARIZONA DEPARTMENT OF PUBLIC SAFETY SCIENTIFIC ANALYSIS BUREAU

**CODIS PROCEDURES MANUAL - CPM2008.1**

Originally Adopted: 10/15/98  
as CODIS Procedures Manual

Issuing Authority:  
Todd A. Griffith, Superintendent

Revision #: 14  
Effective Date: 4/4/08

**(Letter will be on FBI Letterhead)**

*(Laboratory Name and Address)*

*(date)*

Dear Mr./Ms. *(Name of State CODIS Administrator)*:

Attached is a report documenting updates for approved CODIS users, CODIS contract users and CODIS IT users for your state.

If you have any additional questions, please contact the CODIS unit at (703) 632-8315.

Sincerely,

*(NDIS Custodian Name)*

NDIS Custodian  
FBI Laboratory

Enclosure(s)

**Figure 3.3 Sample Letter Confirming the Addition of a CODIS User**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08**(Agency Letterhead)**

NDIS Custodian  
FBI Laboratory  
Room 1120  
2501 Investigation Parkway  
FBI Academy Complex  
Quantico, VA 22135

(date)

Dear NDIS Custodian:

Please add the following CODIS users to the National DNA Index System. These are users who generated data in the CODIS system that should be retained under NDIS. The personnel are no longer active users of the system and do not require ongoing access.

Name

---

---

---

For each user, I have enclosed CODIS user information.

I certify that the laboratories and CODIS users were following accepted standards (*Quality Assurance Standards for Forensic DNA Testing Laboratories*, effective October 1, 1998, or the *Qualified Assurance Standards for Convicted Offender DNA Databasing Laboratories*, effective April 1, 1999) at the time the data was generated and that external proficiency testing was performed for any of the users who were qualified DNA analysts.

(Signature of State CODIS Administrator)  
(Title)

Enclosures

**Figure 3.4 Sample Letter Administratively Adding Past CODIS Users**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08**3.2 Removal of a CODIS User from a Participating Laboratory**

**3.2.1 Purpose:** The purpose of this section is to establish the procedures for removing a CODIS user from a participating CODIS laboratory.

**3.2.2 Responsibilities:** The State CODIS Administrator is responsible for collecting all information from participating laboratories within the state, maintaining copies, and forwarding required documentation to the FBI. All official correspondence related to NDIS shall be between the State CODIS Administrator and the NDIS Custodian.

**3.2.3 Removing a CODIS User****A There are two ways of removing a CODIS user from CODIS:**

- A Stop Date can be set for the user. In this case, no further data will be accepted from the user, but any previous data will remain in the system.
- The user identification can be deleted and some or all data associated with the CODIS user will also be deleted.

**B CODIS users may need to be removed from CODIS for several reasons:**

- The CODIS user may have a name change due to a change in marital status.
- The user may leave employment at a participating laboratory or a change of duties makes it inappropriate to continue to access CODIS.
- A user may fail a periodic security check and the FBI's rejection of the security check would require the state to remove the user.
- There may be a problem with the data associated with the user, either because the user has received unsatisfactory ratings in external proficiency tests or because data was falsified. Removal of the user may be initiated by either the state or the FBI.

**C If any of the above conditions occur:**

- The local laboratory shall contact the State CODIS Administrator within 10 working days in writing using a letter similar to Figure 3.5 and a completed Figure 3.6 form as to the CODIS user information to be deleted and whether any data entered by the user needs to be deleted.

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

- The State CODIS Administrator shall request the removal of the user, at the NDIS level, within 20 working days.
- In the event of removal for reasons described in the third and fourth bullet of section 3.2.3B above, the State CODIS Administrator must also make a recommendation of whether the data associated with this user should be removed. If the user is a qualified DNA analyst, this will require an evaluation of the data quality. If the user has data entry, but not DNA analysis responsibility, the data would normally not be removed except in cases of data falsification.
- If the State CODIS Administrator determines that the data should be removed, the user identification and all data associated with the user shall be deleted. If the determination is that the data should remain, a stop date will be set for the user.
- The State CODIS Administrator shall send a letter (Figure 3.5) requesting removal of the CODIS user information (Figure 3.6) for the user.
- The NDIS Custodian shall remove the user from the CODIS software and send a confirmatory letter (Figure 3.7) to the state. The letters will be forwarded to the appropriate FBI files when the process is complete.
- In the case of the FBI directing that a user must be removed, the NDIS Custodian shall write to the State CODIS Administrator (Figure 3.8) explaining that the user must be removed and requesting a recommendation on the disposition of the data associated with this user.

**3.2.4 Removing Data**

- A Deletion of the data associated with a user, if deemed necessary by the state, will be performed by the state by initiating the expungement of DNA profiles.
- B The state may start this process concurrently with removing the user. However, if the letter from the State CODIS Administrator indicates that data should be removed, the NDIS Custodian's confirmation letter (Figure 3.7) will include a paragraph reminding the state to start expungement.

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

(Agency Letterhead)

NDIS Custodian  
FBI Laboratory  
Room 1120  
2501 Investigation Parkway  
FBI Academy Complex  
Quantico, VA 22135

(date)

Dear NDIS Custodian:

Please remove a user from the National DNA Index System. This user will no longer require access to the system. CODIS user information, with a stop date, is enclosed.

*One of the following paragraphs shall be included:*

I recommend that the data associated with this CODIS user be retained in the National DNA Index System.

(or)

I recommend that the data associated with this user be removed from the National DNA Index System. I am initiating an expungement process for the DNA data associated with this CODIS user.

(or)

I recommend that a subset of the data associated with this CODIS user be removed from the National DNA Index System. (The State CODIS Administrator shall state the dates or other criteria for removal.) I am initiating an expungement process for the DNA data.

(Signature of State CODIS Administrator)

(Title)

Enclosures

**Figure 3.5 Sample Letter to Request Removal of a CODIS User**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08**CODIS User Information**\_\_\_\_\_  
User Name (First)\_\_\_\_\_  
(Middle Initial)\_\_\_\_\_  
(Last)\_\_\_\_\_  
Title\_\_\_\_\_  
Laboratory ID (ORI Number)\_\_\_\_\_  
CODIS User ID\_\_\_\_\_  
EMail ID\_\_\_\_\_  
Telephone Number with Area Code\_\_\_\_\_  
CODIS Start Date\_\_\_\_\_  
CODIS Stop Date

Is this user a qualified DNA analyst?

Yes No

Is this user a CODIS Contract user?

Yes No

Is this a CODIS IT user?

Yes No

Is this removal due to a change in name?

Yes No

**Figure 3.6 CODIS User Information Form – Removal**



**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

(Letter will be on FBI Letterhead)

*(Laboratory Name and Address)**(date)*Dear Mr./Ms. *(Name of State CODIS Administrator)*:

Your request of *(date)* has been processed and the CODIS user has been removed from the National DNA Index System. The CODIS report confirming the removal is enclosed.

*If the data should be removed, the following paragraph will be included:*

Your request indicated that the data associated with this CODIS user should be removed. Please initiate expungement of the data and upload the data including the expungements within 20 working days.

Sincerely,

*(NDIS Custodian Name)*NDIS Custodian  
FBI Laboratory

Enclosure

**Figure 3.7 Sample Letter Confirming the Removal of a CODIS User**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

(Letter will be on FBI Letterhead)

*(Laboratory Name and Address)**(date)*Dear Mr./Ms. *(Name of State CODIS Administrator)*:

We have determined that the CODIS user *(name of user)* associated with *(your or name of other laboratory)* must be removed from the NDIS system.

*The NDIS Custodian will include the reason. For example the user failed a security check update or that when the FBI audited a state or the user, the user had received an unsatisfactory rating on a proficiency test and the corrective actions were not appropriate.*

Please start the process of removing the user as described in NDIS Operational Procedures, *Removal of a User from a Participating Laboratory in NDIS*.

Please make a recommendation on whether the data associated with this CODIS user should be removed. If you recommend expungement, please initiate the expungement of the data and upload the data including the expungements within 20 working days.

Sincerely,

*(NDIS Custodian Name)*NDIS Custodian  
FBI Laboratory**Figure 3.8 Sample Letter Directing the Removal of a CODIS User**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08**3.3 Change Information about a CODIS User from a Participating Laboratory in CODIS**

**3.3.1 Purpose:** The purpose of this section is to establish the procedures for changing information about CODIS users.

**3.3.2 Responsibilities:** The State CODIS Administrator is responsible for collecting all information from participating laboratories within the state, maintaining copies, and forwarding required documentation to the FBI. All official correspondence related to NDIS shall be between the State CODIS Administrator and the NDIS Custodian.

**3.3.3 Changing Information:**

- A Occasionally, information about a CODIS user will change. For purposes of this procedure, the reference to CODIS user shall include CODIS contract and IT users. To have the change reflected in the CODIS software, the local laboratory will contact the State CODIS Administrator in writing using a letter similar to Figure 3.9 and a completed
- B Figure 3.10 form as to the changes to be made. The State CODIS Administrator shall write a letter to the NDIS Custodian requesting the change (Figure 3.9) and enclosing new CODIS user information (Figure 3.10).
- C The NDIS Custodian shall make the changes in CODIS and will respond to the State CODIS Administrator with a letter (Figure 3.11) and a copy of the CODIS report. The letters will be forwarded to the appropriate FBI files when the procedure is complete.
- D The change process is limited to changes of the information on the CODIS User Information document. Adding users or removing them from the National DNA Index System are different functions.

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

(Agency Letterhead)

NDIS Custodian  
FBI Laboratory  
Room 1120  
2501 Investigation Parkway  
FBI Academy Complex  
Quantico, VA 22135

*(date)*

Dear NDIS Custodian:

The CODIS information about CODIS User (*name of CODIS user*) in the state of (*name of state*) has changed. I am enclosing revised CODIS user information and request that you make these changes.

*(Signature of State CODIS Administrator)**(Title)*

Enclosure

**Figure 3.9 Sample Letter Requesting a Change of CODIS User Information**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08**CODIS User Information**

---

User Name      (First)                      (Middle Initial)                      (Last)

---

---

Title

---

---

Laboratory ID (ORI number)

---

---

CODIS User ID

---

EMail ID

---

---

Telephone Number with Area Code

---

---

CODIS Start Date

---

Is this user a qualified DNA analyst?

Yes      No

Is this user a CODIS contract user?

Yes      No

Is this a CODIS IT user?

Yes      No

Is this user currently performing DNA analyses or accessing CODIS?

Yes      No      If No, list the Stop Date for the user: 

---

Is this a name change for a previous CODIS user?

Yes      No

<sup>1</sup> Note – The CODIS User ID would be the name entered into CODIS as the User ID. Each user within a laboratory must have a unique User ID. User IDs can be up to 20 characters in length and may contain any uppercase or lowercase characters except the following: " / \ [ ] : ; | = , + \* ? < > . The User ID is not case sensitive.

<sup>2</sup> The CODIS Start Date is the date this CODIS User is entered into CODIS

**Figure 3.10 CODIS User Information Form - Change**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

(Letter will be on FBI Letterhead)

*(Laboratory Name and Address)**(date)*Dear Mr./Ms. *(Name of State CODIS Administrator)*:The FBI has processed your request to change information about *(name of CODIS user)*.

I am enclosing the CODIS reports confirming the entry of the user data.

Sincerely,

*(NDIS Custodian Name)*NDIS Custodian  
FBI Laboratory

Enclosures

**Figure 3.11 Sample Letter Confirming a CODIS User Change**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08**3.4 CODIS Administrator Responsibilities**

**3.4.1 Purpose:** The purpose of this section is to define the qualifications and responsibilities of a CODIS Administrator participating in NDIS. All references to "CODIS Administrator" are applicable to State and Local CODIS Administrators, unless otherwise noted.

**3.4.2 CODIS Administrator:****A Qualifications:**

- The CODIS Administrator shall meet the educational and experience qualifications specified in the FBI Director's *Quality Assurance Standards for Forensic DNA Testing Laboratories* and/or *Convicted Offender DNA Databasing Laboratories*.
- The CODIS Administrator shall have successfully completed the QAS auditor training sponsored by the FBI within six months of assuming the CODIS Administrator role or position.
- The CODIS Administrator shall also have successfully completed the CODIS user training sponsored by the FBI within six months of assuming the Administrator role or position.
- The CODIS Administrator shall have successfully completed and maintain the FBI security clearance required to become a CODIS user and the annual DNA Records Acceptable at NDIS training.

**B Attendance at Meetings and Training:**

- The CODIS Administrator shall attend the regularly scheduled annual CODIS Conference sponsored by the FBI or seek an excused absence from attendance by the NDIS Custodian if neither the CODIS Administrator nor the Alternate CODIS Administrator can attend. The request for an excused absence shall be in writing, on agency letterhead, and signed by the Laboratory Director.
- The State CODIS Administrator shall attend the regularly scheduled State Administrators Meeting sponsored by the FBI or seek an excused absence from attendance by the NDIS Custodian if neither the State CODIS Administrator nor Alternate State CODIS Administrator can attend. The request for an excused absence shall be in writing, on agency letterhead, and signed by the Laboratory Director.

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08**C Designation of Alternate CODIS Administrator**

- The CODIS Administrator shall designate an Alternate CODIS Administrator who may fulfill his/her CODIS Administrator role in when he/she is absent or unavailable. The CODIS Administrator shall designate an Alternate CODIS Administrator within ninety (90) days of a vacancy in the Alternate CODIS Administrator position. In the event that an Alternate CODIS Administrator has not been designated within ninety (90) days of a vacancy, the CODIS Administrator shall notify the NDIS Custodian.
- The Alternate CODIS Administrator shall have successfully completed the QAS auditor training sponsored by the FBI within six months of assuming the Alternate CODIS Administrator role or position.
- The Alternate CODIS Administrator shall have successfully completed the CODIS user training sponsored by the FBI within one year of being designated the Alternate CODIS Administrator. In the event that the Alternate CODIS Administrator is later named the CODIS Administrator and has successfully completed the CODIS user training, no further CODIS user training shall be necessary.
- The Alternate CODIS Administrator shall have successfully completed and maintain the FBI security clearance required to become a CODIS user.

**3.4.3 General Responsibilities****A CODIS Administrators**

- The CODIS Administrator shall be the central point of contact in the laboratory for CODIS and serve as the gatekeeper for the DNA data entered into CODIS.
- As part of his/her gate keeping function, the CODIS Administrator shall be responsible for performing, or overseeing the performance of, the following, as applicable:
  - Add/Remove a CODIS User (including start and stop dates)
  - Update existing CODIS user information
  - Ensure that CODIS User(s) successfully complete the required annual DNA Records Acceptable at NDIS training



**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

- Notify the NDIS Custodian, within five business days, of the following:
  - ⇒ If a CODIS User or CODIS IT User in their laboratory has been arrested for, or convicted of, a criminal offense;
  - ⇒ If the laboratory loses accreditation status;
  - ⇒ If the laboratory loses the capability to perform DNA analysis at its facility;
  - ⇒ If the laboratory has fewer than two fulltime DNA analysts; or
  - ⇒ If the laboratory has a vacancy in the laboratory's Technical Leader position.
- Compliance with CODIS security requirements such as CODIS user passwords and physical security of CODIS terminals/servers
- Upload profiles to SDIS and/or weekly upload of profiles to NDIS (schedule uploads from local laboratories)
- Review of reconciliation reports
- Weekly backup of CODIS data (including performance of periodic restores to ensure backups are working properly)
- Update CODIS Install Manager with any changes to hardware/software configuration at laboratory
- Review and make best efforts to disposition matches within 30 business days
- Review and implementation of all CODIS Bulletins and changes to NDIS Operational Procedures.
- Calculation and monthly reporting by the tenth day of each month of investigations aided and hit statistics to SDIS and /or NDIS
- Completion of annual CODIS survey document by the specified due date
- Completion of the annual update of points of contact for the CODIS Administrator, Alternate CODIS Administrator, Designated State Official or Laboratory Director, and Quality Assurance Manager, as applicable for their Laboratory (Figure 3.12).

**B State CODIS Administrators**

- The State CODIS Administrator has additional responsibilities for a state's participation in NDIS which include:

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

- Serving as the central point of contact with the NDIS Custodian
- Ensuring other participating laboratories in that state comply with the terms and conditions of the NDIS Participation Memorandum of Understanding
- Advising and instructing Local CODIS Administrators of their responsibilities for participation in NDIS
- Communicating all information about the laboratories participating in that state to the NDIS Custodian

**3.4.4 Reporting Requirements**

A Local CODIS Administrators shall report to their State CODIS Administrator:

- At the beginning of each calendar year (date to be determined by the State CODIS Administrator) the following:
  - Internal and external audit information
  - Annual Proficiency Information on each qualified DNA analyst
  - Copies of the certificates of completion of the annual web-based DNA Records Acceptable at NDIS training.
  - Annual Update of Points of Contact for the laboratory
- On a routine basis, the following:
  - Updated CODIS user information
  - Updated laboratory information
  - Changes in point of contact information for CODIS Administrator

B State CODIS Administrators shall be responsible for reporting to the NDIS Custodian and/or CODIS Unit:

- At the beginning of each calendar year (date to be determined by NDIS) the following:
  - Internal and external audit information
  - Annual Update of Points of Contact for the laboratory
- On a routine basis, the following:
  - Updated CODIS user information
  - Updated laboratory information
  - Changes in point of contact information for CODIS Administrator

**3.4.5 State Procedure Requirements**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

A At a minimum, the State CODIS Administrator shall have procedures for the state that address the following:

- Administrative Removal of DNA Data
- Expungement of DNA Data
- Confirming an Intrastate Candidate Match
  - Include requirement for best effort to resolve matches within 30 business days
  - Release of information when a non-qualifying offender is involved in the candidate match
- Uploads to SDIS
- Use of contractor laboratory and/or contract personnel
- Access to DNA data in SDIS

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08**Annual Update of Points of Contact for the:***(insert name of the Laboratory)***CODIS Administrator:**

Contact Information

Address:

Phone:

E-mail:

**Alternate CODIS Administrator:**

Phone:

E-mail:

**Designated State Official:**

Phone:

**Technical Leader:**

Phone:

E-mail:

**Quality Assurance Manager:**

Phone:

E-mail:

**Figure 3.12 Sample Annual Update of Points of Contact**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08**4 Specimen Management****4.1 Upload Data**

**4.1.1 Purpose:** The purpose of this section is to define the requirements for uploading data into SDIS and/or NDIS.

**4.1.2 Uploading Data**

**A** The procedures for performing a data upload are explained in the CODIS Training Manual. CODIS users may perform two types of uploads, incremental and full.

- An incremental upload transmits all data that is new, modified, or deleted since the last time an upload was performed, if the data has been marked for uploads. CODIS participating laboratories shall perform incremental upload as follows:
  - Local laboratories to the designated state laboratory at least once a month (if new profiles have been generated and need to be uploaded), with the option of weekly uploads on a scheduled basis.
  - Designated state laboratory to NDIS in accordance with the schedule established by the NDIS Custodian (no less than once per month).
- A full upload transmits all data in the local or state database that has been marked for upload. CODIS participating laboratories shall perform full uploads, as follows:
  - Local laboratories to the designated state laboratory at least once a year.
  - Designated state laboratory to NDIS in accordance with the schedule established by the NDIS Custodian.
- It shall be the responsibility of the submitting state or local laboratory to review upload reconciliation reports.

**4.1.3 Data that can be uploaded – NDIS****A Types**

- Autosomal STRs
  - The 13 core STR loci (D3S1358, vWA, FGA, D8S1179, D21S11, D18S51, D5S818, D13S317, D7S820, D16S539, TH01, TPOX, CSF1PO) plus Amelogenin; D2S1338, and D19S5433.
- mtDNA

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

- HVI and HVII
- Each DNA profile developed from mitochondrial DNA must be associated with an HL60 control sample, which is used as a positive control. A mtDNA profile must be developed from the positive control, which has been carried from amplification through sequencing and interpretation. The length of the sequence to be uploaded cannot be greater than the length of the sequence obtained in the positive control. The HVI and HVII regions of the mtDNA from this cell line have been amplified and sequenced by the FBI Laboratory. The HL60 mtDNA HVI and HVII sequences, expressed as differences from the revised Cambridge Reference Sequence (rCRS), are provided in the following table.

Cell Line	HL60
HVI (16,024-16,365)	16069 T 16193 T 16278 T 16362 C
HVII (73-340)	73 G 150 T 152 C 263 G 295 T 315.1 C

B A complete profile for searching purposes at the national level is defined as follows:

- STRs:
  - All Convicted Offender, Arrestees, and Legal samples must have a profile of all 13 core STR loci.
  - Relatives of Missing Persons samples must have a profile of all 13 core STR loci and Amelogenin.
  - All Forensic samples must have had all 13 core STR loci attempted with a profile of at least 10 of the 13 core STR loci.
  - All Unidentified Human (Remains) and Missing Person samples must have had all 13 core STR loci attempted with a profile of at least 8 of the 13 core STR loci and Amelogenin.
  - In addition to the above forensic sample requirement, Forensic Mixtures must not have any more than 4 alleles at any one locus and must not have more than 4 core

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

STR loci with 4 alleles (meaning, 4 core STR loci may have up to 4 alleles and all other core STR loci must have no more than two alleles).

- mtDNA:
  - HVI and HVII

**4.1.4 Data that can be uploaded – SDIS****A Types**

- Autosomal STRs:
  - The 13 core STR loci (D3S1358, vWA, FGA, D8S1179, D21S11, D18S51, D5S818, D13S317, D7S820, D16S539, TH01, TPOX, CSF1PO) plus Amelogenin, D2S1338, and D19S5433.
- mtDNA:
  - mtDNA – HVI and HVII
- YSTRs:
  - The core YSTR loci (DYS19, DYS385a/b, DYS389I, DYS389II, DYS390, DYS391, DYS392, DYS393, DYS438, DYS439) plus DYS437, DYS448, DYS456, DYS458, DYS635, and Y GATA H4.

**B A complete profile for searching purposes at the state level is defined as follows:**

- STRs:
  - All Convicted Offender and Arrestee samples must have a profile of all 13 core STR loci.
  - All Relatives of Missing Persons samples must have a profile of all 13 core STR loci and Amelogenin.
  - All Forensic samples must have had all 13 core STR loci attempted with a profile of at least 6 of the 13 core STR loci.
  - All Unidentified Human (Remains) and Missing Person samples must have had all 13 core STR loci attempted with a profile of at least 6 of the 13 core STR loci and Amelogenin.
  - In addition to the above forensic sample requirement Forensic Mixtures must not have any more than 4 alleles at any one locus and must not have more than 4 core STR loci with 4 alleles. The remaining core STR loci can have up to three alleles.
- mtDNA

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

- All Relatives of Missing Persons samples must have a profile of HVI and HVII.
- All Unidentified Human (Remains) and Missing Person samples must have a minimum of 150 overlapping base pairs.
- YSTRs:
  - All Convicted Offender, Arrestee, and Relatives of Missing Persons samples must have a profile of all YSTR loci listed above.
  - All Forensic, Unidentified Human (Remains), and Missing Person samples must have a profile of 10 of the YSTR loci listed above.

**4.1.5 Form in which data will be accepted for an upload**

- A Each uploadable sample entered into CODIS must have an identifier unique to each laboratory and should exclude names.
- B Forensic mixtures should have a number sign (#) placed at the end of their unique identifier.
- C All profiles entered into CODIS must be technically reviewed prior to entry.

**4.2 Expungement**

**4.2.1 Purpose:** The purpose of this section is to describe the responsibilities for laboratories participating in NDIS to perform expungements and define the procedures by which local and state laboratories can document that DNA profiles have been expunged from SDIS and/or NDIS.

**4.2.2 Responsibilities:**

- A Included in the DNA Analysis Backlog Elimination Act of 2000 was a requirement for states to expunge the DNA profiles of persons whose qualifying convictions had been overturned. This Act was effective December 19, 2001, and requires that states participating in NDIS "shall promptly expunge from that index the DNA analysis (DNA profile) of a person included in the index by that state if the responsible agency or official of that state receives, for each conviction of the person of an offense on the basis of which that analysis (profile) was or could have been included in the index, a certified copy of a final court order establishing that such conviction has been overturned." A court order is not considered "final" for these purposes if time remains for an appeal or application for discretionary review with respect to the order.



**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

- B For states that will be uploading the DNA data of arrestees, indicted persons or similar legal specimens, amendments made by the DNA Fingerprint Act of 2005 require expungements in the event the charge is dismissed or results in an acquittal or no charge was filed within the applicable time period. NDIS participating states are required to expunge from NDIS the DNA analysis of a person included in NDIS by that state if "the person has not been convicted of an offense on the basis of which that analysis was or could have been included in the index, and the responsible agency or official of that state receives, for each charge against the person on the basis of which the analysis was or could have been included in the index, a certified copy of a final court order establishing that such charge has been dismissed or has resulted in an acquittal or that no charge was filed within the applicable time period."
- C A participating state shall have procedures in place for performing expungements, regardless of whether or not their state DNA law requires this.
- D The State CODIS Administrator is responsible for collecting all information from participating laboratories within the state, maintaining copies, and forwarding required documentation to the FBI. All official correspondence related to NDIS shall be between the State CODIS Administrator and the NDIS Custodian.
- E Expungement Documentation Required Prior to Upload of Arrestee, Indicted Person, or Similar Legal DNA Profiles
- Prior to the uploading of any arrestee, indicted person or similar legal profiles to NDIS, the NDIS participating state shall provide the NDIS Custodian with documentation of its expungement procedures. Such documentation shall include the procedures for expunging DNA profiles from NDIS in accordance with this procedure as well as any relevant regulation and/or law governing expungement. The NDIS participating state may use the sample letter in Figure 4.5 to forward the required documentation on expungement to the NDIS Custodian.
  - Once the expungement documentation has been reviewed, the NDIS Custodian shall notify the NDIS participating state if arrestee DNA profiles may be uploaded to NDIS (Figure 4.6). The NDIS Custodian shall return the expungement documentation to the NDIS participating state.

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted, 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08**F Retention and Removal of DNA Records at NDIS**

- State or local DNA records shall be maintained in NDIS as long as they are substantiated by the internal records of the NDIS participating laboratory and are allowed to be retained by federal or state law, by judicial decree or by consent. The NDIS participating laboratory shall maintain a system of controls to ensure that DNA records are maintained and used in LDIS, SDIS, and NDIS in accordance with the DNA Identification Act of 1994 as amended and applicable state law, and for NDIS, in accordance with the Privacy Act of 1974.
- State or local DNA records shall be deleted from NDIS by the NDIS participating laboratory if the NDIS laboratory determines that such records are no longer lawfully permitted or appropriate for retention in the system. If the NDIS participating laboratory determines that a DNA record must be deleted from the DNA database, the NDIS participating laboratory shall delete the DNA record and execute a data upload to NDIS in accordance with the schedule established by the NDIS Custodian.
- The NDIS Custodian also has the authority to determine that state or local DNA records in NDIS shall be deleted, or alternatively, suspended from use for an appropriate period of time. The NDIS participating laboratories whose DNA records are affected by a determination to delete or suspend records by the NDIS Custodian shall be notified in writing of this determination and the basis for such deletion or suspension. The NDIS Custodian may subsequently decide either to restore or delete the suspended records, and shall notify the NDIS participating laboratory of this determination. Please refer to section 1.4 "suspension of a Laboratory from NDIS/SDIS for additional procedures".

**4.2.3 Expungement vs. Administrative Removal**

**A Administrative Removal** – refers to the destruction of a DNA sample and/or destruction or removal of any records relating to that DNA sample by a state forensic laboratory upon verification of the fact that the DNA record is not eligible for inclusion in SDIS and/or NDIS. Examples for administrative removal include, but are not limited to the following:

- **STR Profiles**
  - The offender/arrestee providing the DNA sample did not have a conviction/arrest for a qualifying offense;

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

- The collection agency notifies the state laboratory that removal is warranted; or
- There was a procedural deficiency in the collection of the DNA sample that cannot be resolved.
- Other administrative removals at the state and/or local level may be performed.
- **mtDNA Profiles**
  - The individual does not qualify as a biological relative of a missing person;
  - The DNA sample was collected from a juvenile without parental permission;
  - The collection agency or other appropriate authority provides written notification that such a removal is warranted; or
  - Any other relevant procedural issue arises that cannot be resolved.

**B Expungement**

- **STR Profiles** – This process refers to the deletion of a DNA profile at the SDIS and/or NDIS level in response to a court order requiring the laboratory to expunge the sample.
- **mtDNA Profiles** – This process refers to the deletion of a mtDNA profile at the SDIS and/or NDIS level in response to a written request accompanied by a notarized letter signed by the sample donor or his/her legal representative.

**4.2.4 Expunging a DNA Profile**

- A** The process of expunging a DNA profile may be done in response to a court order, a written request accompanied by a notarized signed letter (in missing person cases), or in accordance with the requirements of federal law. Once it has been determined that a profile should be expunged from SDIS and/or NDIS, the authorities at the state shall delete the DNA profile using the CODIS software and execute a data upload, which will trigger the deletion of the DNA profile from the SDIS and/or NDIS databases.
- B** As required by state law or procedure to document that the DNA profile has been properly expunged, the State CODIS Administrator may prepare a letter, such as the sample letter shown in Figure 4.1.
- C** Upon receipt of the letter by the NDIS Custodian, the request shall be entered into the Expungement Log (Figure 4.2). Within ten working days, the NDIS Custodian shall check that the upload from the state has

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

been received and that the DNA profile is no longer contained in the NDIS database. At this time, the NDIS Custodian will delete all candidate matches associated with that DNA profile from the database.

- D If the deletion was properly included in the state's upload, a confirmatory letter (Figure 4.3) shall be returned to the state. The Expungement Log (Figure 4.2) will be updated.
- E If the DNA profile has not been deleted, the NDIS Custodian will telephonically contact the State CODIS Administrator. The NDIS Custodian may perform a manual deletion of the DNA profile and will discuss any required corrective actions with the state. On a manual deletion, the NDIS Custodian shall check the next upload from the participating state to ensure the DNA profile was deleted at the state level and will update the Expungement Log (Figure 4.2). When this has been done, the confirmatory letter will be prepared and sent to the state requesting the expungement.
- F A copy of the original letter will be retained in an expungement file at the NDIS facility and a copy sent to FBI files. In the event that the SDIS/NDIS database needs to be restored from backup tapes, the expungement log shall be consulted. In addition, any DNA profiles or associated candidate matches expunged, but still existing on backup tapes, will be manually deleted. The letters will be retained as long as backup tapes for the relevant period are maintained.
- G **Steps taken for expungement** - Once a court order has been received or in accordance with the requirements of federal law steps 1 through 6 are followed. In the case of missing persons, once a written request accompanied by a notarized signed letter has been received, steps 3 through 6 are followed:
- **Step #1** The individual's name is searched in the laboratory's information management system to verify that the offender/arrestee is in the DNA Database. If the name is not found, the process stops and the agency/individual requesting expungement is contacted in writing (Figure 4.4). If the name is found the process continues.
  - **Step #2** A check of the individual's criminal history should be conducted to verify that there are no qualifying offenses. If the individual does have a qualifying offense, the process stops and the agency/individual requesting expungement is contacted in writing (Figure 4.4). If no qualifying offense is found the process continues.

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

- Step #3 If the profile that is to be expunged has been involved in any prior matches on the DNA Database the other laboratory will be notified in writing as to the expungement of the sample.
- Step #4 Expunging the CODIS Profile:
  - If the sample has been DNA profiled and entered into SDIS, then the specimen should be deleted. A deletion report should be printed.
  - If the sample has been uploaded to NDIS, additional steps will need to be taken as described above.
  - In the event that the SDIS database needs to be restored from backup tapes, the expungement file shall be consulted and any records expunged, but still existing on backup tapes, will be manually deleted.
- Step #5 DNA Sample Destroyed
  - The stain card or buccal swab will have all identifying characteristics removed and will be destroyed.
  - The working sample and/or extracted sample will have all identifying characteristics removed and will be destroyed.
- Step #6 Recording expungement
  - Once everything is expunged the agency/individual will receive:
    - ⇒ A letter similar to (Figure 4.4) verifying the approval of the sample to be expunged.
    - ⇒ A formal expungement report issued by the laboratory.

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

(Agency Letterhead)

NDIS Custodian  
FBI Laboratory  
Room 1120  
2501 Investigation Parkway  
FBI Academy Complex  
Quantico, VA 22135

(date)

Dear NDIS Custodian:

A DNA profile that has been previously uploaded to NDIS should be expunged. I certify that the record has been deleted from the state database and an upload containing this transaction was sent to NDIS on (date).

The DNA profile to be expunged is Specimen ID \_\_\_\_\_.

Point of Contact:

Name: \_\_\_\_\_

Agency: \_\_\_\_\_

Address: \_\_\_\_\_

Telephone: \_\_\_\_\_

Fax: \_\_\_\_\_

E-mail if available: \_\_\_\_\_

Laboratory ID#: \_\_\_\_\_

(Signature of State CODIS Administrator)  
(Title)

**Figure 4.1 Sample Expungement Request Letter**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08**Expungement Log**

<b>Laboratory ID</b>	<b>Specimen ID</b>	<b>Expungement Request Received</b>	<b>Manual Deletion Performed</b>	<b>Date Deletion Confirmed</b>	<b>Confirmation Letter Sent</b>

**Figure 4.2 Expungement Log**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

(Letter will be on FBI Letterhead)

*(Laboratory Name and Address)**(date)*Dear Mr./Mrs. *(Name of State CODIS Administrator)*:

In response to your request, a query of NDIS for a DNA profile with the Specimen ID referenced below was performed. The FBI has confirmed the deletion of the DNA profile or The FBI has performed the deletion of the DNA profile and a copy of the deletion report is attached.

Date of request: \_\_\_\_\_


Specimen ID: \_\_\_\_\_

Date NDIS was queried: \_\_\_\_\_

Sincerely,

*(NDIS Custodian Name)*NDIS Custodian  
FBI Laboratory**Figure 4.3 Sample Expungement Confirmation Letter**



	ARIZONA DEPARTMENT OF PUBLIC SAFETY SCIENTIFIC ANALYSIS BUREAU	
	<b>CODIS PROCEDURES MANUAL - CPM2008.1</b>	
Originally Adopted: 10/15/98 as CODIS Procedures Manual	Issuing Authority: Todd A. Griffith, Superintendent	Revision #: 14 Effective Date: 4/4/08

(Agency Letterhead)

(Individual/Agency)

(Address)

(Phone Number)

(date)

RE: State of Arizona vs. (name of defendant) (DOB)

Dear (Individual/Agency):

In response to the court order for expungement of the DNA sample from the Arizona DNA Identification System, please be advised that:

- ☐ Our records indicate that the DNA sample is not in our database.
- ☐ Our records indicate that the person has been convicted of another offense that would require the person to submit to DNA testing pursuant to A.R.S. 13-610 (K). Therefore, the request for expungement is denied.
- ☐ Our records indicate that the DNA sample collected should be expunged from the Arizona DNA Identification System. Therefore, the sample and any existing DNA profile that would have been entered in the database has been expunged.
- ☐ Other: \_\_\_\_\_

Sincerely,

(Signature)

(Title)

**Figure 4.4 Sample Expungement Letter**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

(Agency Letterhead)

NDIS Custodian  
FBI Laboratory  
Room 1120  
2501 Investigation Parkway  
FBI Academy Complex  
Quantico, VA 22135

(date)

Dear NDIS Custodian:

In accordance with the NDIS Procedure "Expunge a DNA Profile," enclosed are the procedures for the State of \_\_\_\_\_ relating to the expungement of arrestee/legal DNA profiles from NDIS.

Please let me know if any additional information is needed. I can be reached at \_\_\_\_\_.

Sincerely,

(Signature of State CODIS Administrator)  
(Title)

**Figure 4.5 Sample Letter to NDIS Custodian Forwarding Expungement Documentation**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

(Letter will be on FBI Letterhead)

*(NDIS Participating State Address)**(date)*Dear Mr./Ms. *(Name of State CODIS Administrator)*:

This is in response to your correspondence dated \_\_\_\_\_ forwarding your state's expungement documentation.

We have reviewed your expungement documentation in accordance with the requirements of the NDIS Procedure "Expunge a DNA Profile." Please be advised that your state is authorized to upload the DNA profiles of arrestees and/or indicted persons as of \_\_\_\_\_.

*(or)*

Please be advised that additional documentation is requested to demonstrate how your state will expunge the DNA profiles of arrestees/legal when there is a dismissal of the charges, an acquittal on the charges or no charges are filed within the applicable time period.

We are returning your expungement documentation for your files. Please let us know if you have any questions.

Sincerely,

*(NDIS Custodian Name)*NDIS Custodian  
FBI Laboratory**Figure 4.6 Sample Expungement Documentation Letter for NDIS Custodian**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08**5 Searches****5.1 CODIS Searches**

**5.1.1 Purpose:** The purpose of this section is to define the parameters for CODIS searches. All profiles to be searched in CODIS must have a technical review performed on them prior to searching the profile.

**5.1.2 Indexes to be Searched**

A At the discretion of the NDIS Custodian, NDIS may be configured to search the following indexes against each other. No other combinations are permissible.

	<b>Forensic</b>	<b>Convicted Offender, Arrestee and Legal</b>	<b>Unidentified Human (Remains)</b>	<b>Missing Person</b>	<b>Relatives of Missing Persons</b>
<b>Forensic</b>	X	X	X	X	
<b>Convicted Offender, Arrestee, and Legal</b>	X		X	X	
<b>Unidentified Human (Remains)</b>	X	X	X	X	X
<b>Relatives of Missing Persons</b>			X		
<b>Missing Person</b>	X	X	X		

B At the state level - The above indexes are searchable along with the following:

- Forensic Mixture, which is included in the Forensic Index at the national level.
- AZ Searches, which is an index that includes forensic profiles with results at 6 to 9 of the core STR loci and forensic mixtures with results at 6 to 13 core STR loci that have up to four alleles at four STR loci with the other STR loci having up to three alleles.
- AZ UHR Searches, which is an index that includes unidentified human (remains) profiles with results at 6 to 7 of the core STR loci.

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

- C The State CODIS Administrator will configure SDIS to search the following indexes against each other.

	Forensic	Convicted Offender and Arrestee	Unidentified Human (Remains)	Relatives of Missing Persons	Forensic Mixture	Missing Person	AZ Searches	AZ UHR Searches
Forensic	X	X	X		X	X	X	X
Convicted Offender and Arrestee	X	X	X		X	X	X	X
Unidentified Human (Remains)	X	X	X	X	X	X	X	X
Relatives of Missing Persons			X					X
Forensic Mixture	X	X	X		X	X	X	X
Missing Person	X	X	X		X	X	X	X
AZ Searches	X	X	X		X	X	X	X
AZ UHR Searches	X	X	X	X	X	X	X	X

**5.1.3 Types of Searches****A CODIS 5.7.2 Standard STR Autosearches**

- When data is uploaded into SDIS and/or NDIS, new or modified data is marked to indicate that it has not been searched. The State CODIS Administrator will perform an autosearch at least once a month. (The frequency of these autosearches can be modified as the amount of data changes over time.) On a scheduled basis, at the discretion of the NDIS Custodian, the NDIS Custodian will execute an autosearch to search previously unsearched profiles.
- The following table defines the guidelines for the index search parameters for a Standard NDIS Autosearch.

Indexes to Search	Search Stringency	Minimum Number of Core Loci Required to Report a Match
Forensic against Forensic	Moderate	10
Forensic against Convicted Offender, Arrestee, and Legal	Moderate	10

- The following table defines the guidelines for the index search parameters for a Standard SDIS Autosearch.

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

Indexes to Search	Search Stringency	Minimum Number of Loci Required to Report a Match
Forensic against Forensic	Moderate	6
Forensic against Convicted Offender and Arrestee	Moderate	6
Forensic against Forensic Mixture STR	Moderate	6
Forensic against AZ Searches	Moderate	6
Forensic Mixture against Forensic Mixture	Moderate	6
Forensic Mixture against Convicted Offender and Arrestee	Moderate	6
Forensic Mixture against AZ Searches	Moderate	6
AZ Searches against AZ Searches	Moderate	6
AZ Searches against Convicted Offender and Arrestee	Moderate	6
Convicted Offender against Convicted Offender and Arrestee	High	13

- These parameters apply to the complimentary searches, unless specified. For example, for Forensic to Convicted Offender, the complimentary search is Convicted Offender to Forensic, etc.
- Complete profile definition of the indexes at NDIS and SDIS:

Acceptable Loci - NDIS	Index	Minimum from Acceptable Core STR Loci List
CSF1PO D8S1179 D13S317 FGA D16S539 TH01 D18S51 TPOX D21S11 VWA D3S1358 D2S1338 D5S818 D19S433 D7S820 Amelogenin	Forensic (includes Forensic Mixtures)	10
	Convicted Offender	13
	Arrestee	13
	Legal	13

Acceptable Loci - SDIS	Index	Minimum from Acceptable Core STR Loci
CSF1PO D8S1179 D13S317 FGA D16S539 TH01 D18S51 TPOX D21S11 VWA D3S1358 D2S1338 D5S818 D19S433 D7S820 Amelogenin	Forensic	10
	Convicted Offender	13
	Arrestee	13
	Forensic Mixture	10
	AZ Searches	6

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

- The CODIS software automatically forwards the results of any matches to any laboratories that submitted matching samples.
- The State CODIS Administrator and/or the NDIS Custodian may change the search stringency provided they are consistent with the NDIS Search Policy.

**B CODIS 5.7.2 Missing Person Related Autosearches**

- When data is uploaded into SDIS and/or NDIS, new or modified data is marked to indicate that it has not been searched. The State CODIS Administrator will perform an autosearch at least once a month. (The frequency of these autosearches can be modified as the amount of data changes over time.) At the discretion of the NDIS Custodian, the NDIS Custodian will execute an autosearch to search previously unsearched profiles.
- The following table defines the guidelines for the index search parameters for NDIS Missing Person Related Autosearches.

<b>Indexes to Search</b>	<b>Search Stringency</b>	<b>Minimum Number of Core STR Loci Required to Report a Match</b>
Forensic against Unidentified Human (Remains)	Moderate	8
Forensic against Missing Person	Moderate	8
Convicted Offender, Arrestee, and Legal against Unidentified Human (Remains)	Moderate	10
Convicted Offender, Arrestee, and Legal against Missing Person	Moderate	10
Missing Person against Unidentified Human (Remains)	Moderate	8
Relatives of Missing Persons against Unidentified Human (Remains)	Low	10
Unidentified Human (Remains) against Unidentified Human (Remains)	Moderate	8

- The following table defines the guidelines for the index search parameters for SDIS Missing Person Related Autosearches.

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

Indexes to Search	Search Stringency	Minimum Number of STR Loci Required to Report a Match
Forensic against Unidentified Human (Remains)	Moderate	6
Forensic against Missing Person	Moderate	6
Forensic against AZ UHR Searches	Moderate	6
AZ Searches against Unidentified Human (Remains)	Moderate	6
AZ Searches against Missing Person	Moderate	6
AZ Searches against AZ UHR Searches	Moderate	6
Forensic Mixture against Unidentified Human (Remains)	Moderate	6
Forensic Mixture against Missing Person	Moderate	6
Forensic Mixture against AZ UHR Searches	Moderate	6
Convicted Offender against Unidentified Human (Remains)	Moderate	6
Convicted Offender against Missing Person	Moderate	6
Convicted Offender against AZ UHR Searches	Moderate	6
Missing Person against Unidentified Human (Remains)	Moderate	6
Missing Person against AZ UHR Searches	Moderate	6
Missing Person against Missing Person	Moderate	6
Relatives of Missing Persons against Unidentified Human (Remains)	Low	6
Relatives of Missing Persons against AZ UHR Searches	Low	6
Unidentified Human (Remains) against Unidentified Human (Remains)	Moderate	6
Unidentified Human (Remains) against AZ UHR Searches	Moderate	6
AZ UHR Searches against AZ UHR Searches	Moderate	6

- These parameters apply to the complimentary searches. For example, for Forensic to Unidentified Human (Remains), the complimentary search is Unidentified Human (Remains) to Forensic, etc.
- If needed, at his/her discretion the NDIS and/or SDIS Custodian may change the search stringency and minimum number of loci required to report a match.
- Complete profile definition of the indexes at NDIS and SDIS:

Acceptable Loci - NDIS	Index	Minimum from Acceptable Core STR Loci and Amelogenin
CSF1PO D8S1179 D13S317 FGA D16S539 TH01 D18S51 TPOX D21S11 VWA D3S1358 D2S1338 D5S818 D19S433 D7S820 Amelogenin	Missing Person	8
	Relatives of Missing Persons	13
	Unidentified Human (Remains)	8



**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

Acceptable Loci - SDIS	Index	Minimum from Acceptable Core STR Loci and Amelogenin
CSF1PO D8S1179	Missing Person	6
D13S317 FGA	Relatives of Missing Persons	13
D16S539 TH01	Unidentified Human (Remains)	8
D18S51 TPOX	AZ UHR Searches	6
D21S11 VWA		
D3S1358 D2S1338		
D5S818 D19S433		
D7S820 Amelogenin		

- The CODIS software automatically forwards the results of any matches to any laboratories that submitted matching samples.

**C NDIS and SDIS Missing Persons DNA Autosearches for use with CODIS + Mito 1.3**

- When data is uploaded into the SDIS and/or NDIS Missing Persons database, new or modified data is marked to indicate that it has not been searched. The State CODIS Administrator will perform an autosearch at least once a month. (The frequency of these autosearches can be modified as the amount of data changes over time.) At the discretion of the NDIS Custodian, the NDIS Custodian will execute an autosearch to search previously unsearched profiles.
- The following table defines the guidelines for the index search parameters for PCR/STR NDIS Missing Person Related Autosearches using CODIS + Mito 1.3.

Indexes to Search	Search Stringency	Minimum Number of STR Loci Required to Report a Match
Forensic against Unidentified Human (Remains)	Moderate	8
Forensic against Missing Person	Moderate	8
Missing Person against Unidentified Human (Remains)	Moderate	8
Relatives of Missing Persons against Unidentified Human (Remains)*	Low	10
Unidentified Human (Remains) against Unidentified Human (Remains)	Moderate	8

*\*The Relatives of Missing Persons Against Unidentified Human (Remains) autosearch on NDIS Missing Persons 1.3 is the only search that requires mitochondrial data to be present to report a match.*

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

- The following table defines the guidelines for the index search parameters for mtDNA NDIS Missing Person Related Autosearches using CODIS + Mito 1.3.

<b>Indexes to Search</b>	<b>Minimum Number of Overlapping Base Pairs Required to Report a Match</b>
Missing Person against Unidentified Human (Remains)	600
Relatives of Missing Persons against Unidentified Human (Remains)	600
Unidentified Human (Remains) against Unidentified Human (Remains)	600

- The following table defines the guidelines for the index search parameters for PCR/STR SDIS Missing Person Related Autosearches using CODIS + Mito 1.3.

<b>Indexes to Search</b>	<b>Search Stringency</b>	<b>Minimum Number of STR Loci Required to Report a Match</b>
Forensic against Unidentified Human (Remains)	Moderate	6
Forensic against Missing Person	Moderate	6
Forensic against AZ UHR Searches	Moderate	6
AZ Searches against Unidentified Human (Remains)	Moderate	6
AZ Searches against Missing Person	Moderate	6
AZ Searches against AZ UHR Searches	Moderate	6
Forensic Mixture against Unidentified Human (Remains)	Moderate	6
Forensic Mixture against Missing Person	Moderate	6
Forensic Mixture against AZ UHR Searches	Moderate	6
Missing Person against Unidentified Human (Remains)	Moderate	6
Missing Person against AZ UHR Searches	Moderate	6
Relatives of Missing Persons against Unidentified Human (Remains)*	Low	6
Relatives of Missing Persons against AZ UHR Searches*	Low	6
Unidentified Human (Remains) against Unidentified Human (Remains)	Moderate	6
Unidentified Human (Remains) against AZ UHR Searches	Moderate	6
AZ UHR Searches against AZ UHR Searches	Moderate	6

*\*The Relatives of Missing Persons Against Unidentified Human (Remains) and AZ UHR autosearches on SDIS Missing Persons 1.3 are the only searches that requires mitochondrial data to be present to report a match.*

- The following table defines the guidelines for the index search parameters for mtDNA SDIS Missing Person Related Autosearches using CODIS + Mito 1.3.



**CODIS PROCEDURES MANUAL - CPM2008.1**

Originally Adopted: 10/15/98  
as CODIS Procedures Manual

Issuing Authority:  
Todd A. Griffith, Superintendent

Revision #: 14  
Effective Date: 4/4/08

Indexes to Search	Minimum Number of Overlapping Base Pairs Required to Report a Match
AZ Searches against Unidentified Human (Remains)	150
AZ Searches against Missing Person	150
AZ Searches against AZ UHR Searches	150
Missing Person against Unidentified Human (Remains)	150
Missing Person against AZ UHR Searches	150
Relatives of Missing Persons against Unidentified Human (Remains)	150
Relatives of Missing Persons against AZ UHR Searches	150
Unidentified Human (Remains) against Unidentified Human (Remains)	150
Unidentified Human (Remains) against AZ UHR Searches	150
AZ UHR Searches against AZ UHR Searches	150

- Complete Profile Definition of the indexes at NDIS:

Index	List	Minimum from List	PCR/STR Loci	mtDNA
Missing Person	1	8 (core)	CSF1PO D3S1358 FGA D13S317 D5S818 TH01 D16S539 D7S820 TPOX D18S51 D8S1179 vWA D21S11	HVI & HVII
	2	1	Amelogenin	
Relatives of Missing Person	1	13 (core)	CSF1PO D3S1358 FGA D13S317 D5S818 TH01 D16S539 D7S820 TPOX D18S51 D8S1179 vWA D21S11	HVI & HVII
	2	1	Amelogenin	
Unidentified Human Remains	1	8 (core)	CSF1PO D3S1358 FGA D13S317 D5S818 TH01 D16S539 D7S820 TPOX D18S51 D8S1179 vWA D21S11	HVI & HVII
	2	1	Amelogenin	

- Complete Profile Definition of the indexes at SDIS:

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

Index	List	Minimum from List	PCR/STR Loci	Minimum # of Overlapping Base Pairs	mtDNA
Missing Person	1	8 (core)	CSF1PO D3S1358 FGA D13S317 D5S818 TH01 D16S539 D7S820 TPOX D18S51 D8S1179 vWA D21S11	150	HVI & HVII
	2	1	Amelogenin		
Relatives of Missing Person	1	13 (core)	CSF1PO D3S1358 FGA D13S317 D5S818 TH01 D16S539 D7S820 TPOX D18S51 D8S1179 vWA D21S11	600	HVI & HVII
	2	1	Amelogenin		
Unidentified Human Remains	1	8 (core)	CSF1PO D3S1358 FGA D13S317 D5S818 TH01 D16S539 D7S820 TPOX D18S51 D8S1179 vWA D21S11	150	HVI & HVII
AZ UHR Searches	1	6 (core)		150	
	2	1	Amelogenin		

- mtDNA Length Heteroplasmy Sites – The default mtDNA length heteroplasmy sites defined by NDIS are 309, 573, and 16193.
- These parameters apply to the complimentary searches. For example, for Forensic against Unidentified Human (Remains) the complimentary search is Unidentified Human (Remains) against Forensic, etc.
- The Autosearcher Mode field is set to “Standard” and “Specimens not previously searched” for all searches.
- At NDIS no base pair misses are allowed, the mtDNA insertions at length heteroplasmy sites are ignored, and mtDNA is used as a match filter. At SDIS, two base pair misses are allowed, the mtDNA insertions at length heteroplasmy sites are ignored, and mtDNA is used as a match filter.
- The NDIS/SDIS Custodian may change the search stringency and minimum number of loci to report a match. At the discretion of the NDIS/SDIS Custodian, NDIS Missing Persons searches (SDIS Missing Persons searches) may be configured to search these indexes against each other. No other combinations are permissible.
- Match results generated using the existing CODIS + Mito application will be automatically forwarded to any CODIS + Mito laboratories involved in the match and manually forwarded to any non-CODIS + Mito laboratories involved in

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

the match. The NDIS/SDIS Custodian also receives a copy of the Match Report.

**D CODIS 5.7.2 YSTR Autosearches**

- When data is uploaded into SDIS, new or modified data is marked to indicate that it has not been searched. The Designated State Official will perform YSTR autosearches at least once a month.
- The following table defines the guidelines for the index search parameters for YSTR Autosearches.

Indexes to Search	Search Stringency	Minimum Number of YSTR Loci Required to Report a Match
Forensic against Forensic	Moderate	10
Forensic against Convicted Offender and Arrestee	Moderate	10
Forensic against Forensic Mixture STR	Moderate	10
Forensic against AZ Searches	Moderate	10
Forensic Mixture against Forensic Mixture	Moderate	10
Forensic Mixture against Convicted Offender and Arrestee	Moderate	10
Forensic Mixture against AZ Searches	Moderate	10
AZ Searches against AZ Searches	Moderate	10
AZ Searches against Convicted Offender and Arrestee	Moderate	10
Forensic against Unidentified Human (Remains)	Moderate	10
Forensic against Missing Person	Moderate	10
Forensic against AZ UHR Searches	Moderate	10
AZ Searches against Unidentified Human (Remains)	Moderate	10
AZ Searches against Missing Person	Moderate	10
AZ Searches against AZ UHR Searches	Moderate	10
Forensic Mixture against Unidentified Human (Remains)	Moderate	10
Forensic Mixture against Missing Person	Moderate	10
Forensic Mixture against AZ UHR Searches	Moderate	10
Convicted Offender and Arrestee against Unidentified Human (Remains)	Moderate	10
Convicted Offender and Arrestee against Missing Person	Moderate	10
Convicted Offender and Arrestee against AZ UHR Searches	Moderate	10
Missing Person against Unidentified Human (Remains)	Moderate	10
Missing Person against AZ UHR Searches	Moderate	10
Missing Person against Missing Person	Moderate	10
Relatives of Missing Persons against Unidentified Human (Remains)	Moderate	10
Relatives of Missing Persons against AZ UHR Searches	Moderate	10
Unidentified Human (Remains) against Unidentified Human (Remains)	Moderate	10
Unidentified Human (Remains) against AZ UHR Searches	Moderate	10
AZ UHR Searches against AZ UHR Searches	Moderate	10

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

- These parameters apply to the complimentary searches, unless specified. For example, for Forensic to Convicted Offender, the complimentary search is Convicted Offender to Forensic, etc.
- Complete Profile Definition of the indexes at SDIS:

Acceptable YSTR Loci – SDIS		Index	Minimum YSTR Loci
DYS19	DYS438	Forensic	10
DYS385a/b	DYS439	Convicted Offender	16
DYS389I	DYS437	Arrestee	16
DYS389II	DYS448	Forensic Mixture	10
DYS390	DYS456	AZ Searches	10
DYS391	DYS458	Missing Person	10
DYS392	DYS635	Relatives of Missing Persons	16
DYS393	Y GATA H4	Unidentified Human (Remains)	10
		AZ UHR Searches	10

- The CODIS software automatically forwards the results of any matches to any laboratories that submitted matching samples.

**E NDIS and SDIS Keyboard Searches by the NDIS or SDIS Custodian**

- Keyboard searches are manual searches of NDIS or SDIS initiated by the NDIS or SDIS Custodian.
- At the discretion of the NDIS or SDIS Custodian, NDIS or SDIS may be configured to search the indexes shown in 5.1.2A for NDIS and 5.1.2C for SDIS against each other.
- The tables in 5.1.3A, 5.1.3B, and 5.1.3C define the guidelines for the index search parameters for NDIS and SDIS manual keyboard searches. The search stringency and minimum number of loci required to report a match may be changed at the discretion of the NDIS or SDIS Custodian. The requesting agency must prepare a letter formally requesting the search. Examples are shown in Figure 5.1 and Figure 5.2. Note that all of the data items included in the sample letter are required and the letter must be on the agency's letterhead.
- A keyboard search may be initiated by the NDIS/SDIS Custodian upon receipt of a written request. Before performing the search, the NDIS/SDIS Custodian shall ensure the request complies with the DNA Identification Act (as amended), the Privacy Act, and other applicable legislation/regulation. If the

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

request does not comply with the provisions, the NDIS/SDIS Custodian shall send a letter to the requestor explaining why the search was not conducted (Figure 5.3). If the search can be conducted, the NDIS/SDIS Custodian shall perform a manual keyboard search using the CODIS software. A letter (Figure 5.4) shall be produced and returned to the requestor, along with a CODIS Match Report. The request and response will be noted in a manual keyboard search log similar to (Figure 5.5) and sent to the appropriate files.

- **Keyboard searches can be received in several situations as described below:**

- **Requests from NDIS Participants:** The NDIS Custodian shall only respond to requests from State CODIS Administrators; requests from local laboratories must pass through the state.
- **Requests from NDIS Participants:** Manual keyboard searches will be conducted on an exception basis and shall not be used in place of the routine upload/searching of date.
- **Requests from Criminal Justice Agencies from NDIS Participating States:** If a request is received from a criminal justice agency that is not itself a participant in NDIS, but the agency is in a state that participates in NDIS, the request must be sent by the State CODIS Administrator. The criminal justice agency must submit the request to the State CODIS Administrator, who will in turn send it to the NDIS Custodian. The request will be handled as stated in section E.
- **Requests from Criminal Justice Agencies from States not participating in NDIS:** If neither the criminal justice agency nor the state in which it is located is an NDIS participant, the request will be sent directly to the NDIS Custodian by the criminal justice agency. The request will be handled as stated in section E.
- **All Other Requests:** If requests are received from any source other than a criminal justice agency, the keyboard search will only be performed if the request is pursuant to a court order and in compliance with the DNA Identification Act, which authorizes: "...disclosure of stored DNA samples and DNA analyses only..."
  - ⇒ ...to criminal justice agencies for law enforcement identification purposes;

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

- ⇒ ...in judicial proceedings, if otherwise admissible pursuant to applicable statutes or rules;
- ⇒ ...for criminal defense purposes, to a defendant, who shall have access to samples and analyses performed in connection with the case in which such defendant is charged; or
- ⇒ ...if personally identifiable information is removed, for a population statistics database, for identification research and protocol development purposes, or for quality control purposes.”
- The request will be handled as stated in section E. A copy of the court order must be attached to the request letter.

**F DNA (Fax) Search Request Batch Target File Searches**

- All DNA search requests must comply with the following requirements:
  - For STR DNA search requests the request shall be typed on the official DNA Search Request Form (Figure 5.6). For mtDNA search requests the request shall be typed on the official mtDNA Search Request Form (Figure 5.7). The forms must be signed by the State CODIS Administrator and then forwarded to the FBI NDIS Custodian.
  - The DNA Search Request shall contain NDIS accepted STR loci.
  - The mtDNA Search Request shall contain NDIS accepted STR loci and mtDNA regions.
  - A minimum of 5 STR CODIS core loci is required for the DNA Search Request to be accepted and a minimum number of overlapping base pairs to be determined by the FBI is required for the mtDNA Search Request to be accepted.
- Operational Procedures
  - The FBI will add DNA Search Requests satisfying the requirements listed above to the Batch Target File, which is posted on the CODIS web page on the CJIS WAN. This Batch Target File will be downloaded by the State CODIS Administrator and searched at least once a month.



**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

- A batch target file will be made of the mtDNA Search Requests satisfying the requirements listed above and will be searched by the State CODIS Administrator at least once a quarter.

**G Remote Search**

- The CODIS software permits state or local laboratories to initiate Remote Search Requests. The Remote Search Request is sent to the State CODIS Administrator, who will forward the request to the NDIS Custodian if necessary. The NDIS Custodian or the State CODIS Administrator will execute the Remote Search Request at his/her discretion.
- There are two types of remote searches:
  - **Public** - A public remote search is a remote search where the match results are sent to all labs that are associated with target and candidates in the match. The search parameters for a public remote search are determined by comparing the parameters sent with the request against the values at the remote site. The more restrictive of the two settings is used. (This means profiles must be complete.)
  - **Private (Currently not being performed at the state level)** - A private remote search is a remote search where the match results only go to the requesting lab and the requesting lab's SDIS. The search parameters sent with the request for a private remote search are used in the search. (This means a profile does not have to be complete.)

**H One Time Search of Outsourced Offender DNA Data – See NDIS Procedures**



## ARIZONA DEPARTMENT OF PUBLIC SAFETY SCIENTIFIC ANALYSIS BUREAU

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

NDIS Custodian  
FBI Laboratory  
Room 1120  
2501 Investigation Parkway  
FBI Academy Complex  
Quantico, VA 22135

(or)

SDIS Custodian  
Arizona DPS Central Laboratory  
PO Box 6638, Mail Drop #1150  
Phoenix, AZ 85005-6638

(date)

Dear NDIS/SDIS Custodian:

I request a keyboard search of the NDIS/SDIS database to the following:

DNA profile (include Specimen ID#)

**STR Profile**

Locus	Allele 1, Allele 2	Locus	Allele 1, Allele 2
D3S1358		D13S317	
VWA		D7S820	
FGA		D16S539	
D8S1179		TH01	
D21S11		TPOX	
D18S51		CSF1PO	
D5S818		Amelogenin	

Reason for search:

Origin of Profile:

Point of Contact:

Name: \_\_\_\_\_  
Agency: \_\_\_\_\_  
Address: \_\_\_\_\_  
Telephone: \_\_\_\_\_  
Fax: \_\_\_\_\_  
Email(if available): \_\_\_\_\_

I certify that the DNA profile was developed in accordance with the provisions of the DNA Identification Act (as amended) and in compliance with the *NDIS Procedure "DNA Data Acceptance Standards."*

Sincerely,

(Signature)

(Title)

**Figure 5.1 Sample Keyboard Search Request Letter**



## ARIZONA DEPARTMENT OF PUBLIC SAFETY SCIENTIFIC ANALYSIS BUREAU

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

NDIS Custodian  
FBI Laboratory  
Room 1120  
2501 Investigation Parkway  
FBI Academy Complex  
Quantico, VA 22135

(or)

SDIS Custodian  
Arizona DPS Central Laboratory  
PO Box 6638, Mail Drop #1150  
Phoenix, AZ 85005-6638

(date)

Dear NDIS Custodian:

I request that the NDIS database be searched for a match to the following:

DNA profile (include Specimen ID#):

Lab ORI:

**STR Data**

Locus	Allele 1, Allele 2
D3S1358	
VWA	
FGA	
D8S1179	
D21S11	
D18S51	
D5S818	
D13S317	
D7S820	
D16S539	
TH01	
TPOX	
CSF1PO	
Amelogenin	

**Mitochondrial Data**

Fragment Start	Fragment End	Polymorphism

Reason for search:

Origin of Profile:

Point of Contact:

Name:

Agency:

Address:

Telephone:

Fax:

E-mail (if available):


I certify that the DNA profile was developed in accordance with the provisions of the DNA Identification Act (as amended) and in compliance with the NDIS Procedure "DNA Data Acceptance Standards."

Sincerely,

(Signature)

(Title)

**Figure 5.2 Missing Persons Sample Keyboard Search Request Letter**

	ARIZONA DEPARTMENT OF PUBLIC SAFETY SCIENTIFIC ANALYSIS BUREAU	
	<b>CODIS PROCEDURES MANUAL - CPM2008.1</b>	
Originally Adopted: 10/15/98 as CODIS Procedures Manual	Issuing Authority: Todd A. Griffith, Superintendent	Revision #: 14 Effective Date: 4/4/08

(Agency Letterhead)

(Laboratory Name and Address)

(date)

Dear Mr./Ms. (Name):

The NDIS/SDIS Custodian has evaluated your request for a keyboard search of NDIS/SDIS.

Date of Request: \_\_\_\_\_

This request does not meet the criteria established for performing NDIS/SDIS searches for the following reasons:


Sincerely,

(NDIS/SDIS Custodian Name)

NDIS/SDIS Custodian

FBI Laboratory (if applicable)

**Figure 5.3 Sample Letter when a Keyboard Search Request is Denied**

	ARIZONA DEPARTMENT OF PUBLIC SAFETY SCIENTIFIC ANALYSIS BUREAU	
	<b>CODIS PROCEDURES MANUAL - CPM2008.1</b>	
Originally Adopted: 10/15/98 as CODIS Procedures Manual	Issuing Authority: Todd A. Griffith, Superintendent	Revision #: 14 Effective Date: 4/4/08

(Agency Letterhead)

(Laboratory Name and Address)

(date)

Dear Mr./Ms. (Name):

The NDIS/SDIS Custodian has evaluated your request for a keyboard search of NDIS/SDIS.

Date of Request: \_\_\_\_\_

The search was performed on (date) and no candidate matches were found. The Match Report is attached.

(or)

The search was performed on (date) and candidate matches were found. The Match Report is attached.

Sincerely,

(NDIS/SDIS Custodian Name)  
NDIS/SDIS Custodian  
FBI Laboratory (if applicable)

**Figure 5.4 Sample Letter Reporting Search Results for a Keyboard Search Request**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08**Keyboard Search Request**

<b>Date of Request Letter</b>	<b>Agency/ Laboratory</b>	<b>Profile/ Specimen #</b>	<b>Did Request Meet Criteria (Y/N)</b>	<b>Date Search Conducted</b>	<b># Candidate Matches</b>	<b>Date Response Letter</b>

**Figure 5.5 Keyboard Search Request Log**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08**DNA Search Requests by Facsimile Official Form**

Dear CODIS Laboratories:

Date: \_\_\_\_\_

1. The DNA profile was developed in compliance with the DNA Identification Act of 1994.
2. The DNA profile was developed in compliance with the FBI Approved Quality Assurance Standards for Forensic DNA Testing Laboratories.
3. The specimen category is Forensic Unknown; therefore the identity of the person(s) that contributed the DNA profile is an unknown perpetrator.
4. The laboratory's spec ID number is:
5. The laboratory's ORI number is:
6. The laboratory that performed the DNA analysis:  
Reason for search:

Origin of profile:

**STR Profile**

Locus	Allele 1, Allele 2	Locus	Allele 1, Allele 2
D3S1358		D13S317	
vWA		D7S820	
FGA		D16S539	
D8S1179		TH01	
D21S11		TPOX	
D18S51		CSF1PO	
D5S818		Amelogenin	

Thank you very much and please contact me with any candidate matches.

Printed Name: \_\_\_\_\_

Signed by: \_\_\_\_\_

Telephone: \_\_\_\_\_

Facsimile: \_\_\_\_\_

Organization: \_\_\_\_\_

Address: \_\_\_\_\_

**Figure 5.6 DNA Search Requests by Facsimile Official Form**



## ARIZONA DEPARTMENT OF PUBLIC SAFETY SCIENTIFIC ANALYSIS BUREAU

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

Date \_\_\_\_\_

## NATIONAL CODIS + mito DATABASE FAX NETWORK mtDNA TARGET BATCH PROFILE

Submitting Agency: \_\_\_\_\_

CODIS + mito Specimen Identification Number (in entirety): \_\_\_\_\_

Sample Type: \_\_\_\_\_

Confirmed Range: \_\_\_\_\_

Polymorphic Position	Base	Polymorphic Position	Base

Entered by: \_\_\_\_\_  
(Sign and Date)Reviewed by: \_\_\_\_\_  
(Sign and Date)

Comments:

**Figure 5.7 mtDNA Search Requests by Facsimile Official Form**



**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08**I International Search Requests**

- **Purpose**
  - Many countries now have national criminal investigative support databases. The only approved method is to submit a request through Interpol. Interpol requires that requests of any kind go through the originating country's Interpol Office. Within the United States' Interpol Office is the State and Local Liaison Division. The Division requires one contact per state to communicate with their office, which is the State CODIS Administrator.
- **Procedures**
  - Any profile needing an international search must go through the laboratory's technical review process before submission to the State CODIS Administrator and subsequent transmittal to Interpol.
  - Using the electronic version of the "Interpol DNA Profile Search Request Form", type in the required information. This form can be downloaded from the following web site: <http://www.interpol.int/public/forensic/dna/form/form.pdf>. Not all fields on the "Interpol DNA Search Request Form" are required to be completed by the submitting laboratory. The required fields are listed below.
    - ⇒ Under the Offense Section, **Category**. This is the category of the offense; use the main headings only, i.e., murder, rape, etc.
    - ⇒ Under the Offense Section, **Place**. This is the place (City, State) where the crime was committed or detected.
    - ⇒ Under the Offense Section, **Date**. This is the offense date of the crime or the date the crime was detected.
    - ⇒ Under the Offense Section, **Additional Information**. This is space for any relevant information that could be of assistance for the investigation.
    - ⇒ Under the DNA Profile Section, **Suspect, Convicted, Crime Stain and Others**. Please choose one of these designations to signify what type of specimen the DNA profile was developed from.

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

- ⇒ Under the DNA Profile Section, type the allele designations for each locus.
- ⇒ Under the DNA Profile Section, select either **No, Monthly, Quarterly, Annually**, to signify the frequency of the search if a negative search result is obtained initially. Recommended selection: **Quarterly**.
- Once the DNA search request form has been completed, send it to the State CODIS Administrator.
- The State CODIS Administrator will search the profile at the state laboratory to determine if there are any matches. If there are no matches, the State CODIS Administrator will proceed.
- The State CODIS Administrator will take the laboratory's "Interpol DNA Profile Search Request Form" and attach the "National, Regional, and Local DNA Databases" information form, which can be downloaded from the following web site: <http://www.interpol.int/public/forensic/dna/inquiry/basicform.pdf>, and send both forms to the State Liaison Interpol Contact.
- The State CODIS Administrator will e-mail a confirmation to the Local CODIS Administrator when the request to Interpol has been sent. (If the outcome is a potential match, the confirmation process occurs on a case-by-case basis, and domestic laboratories may communicate directly with international laboratories.)
- The State Interpol Liaison will then forward the request to the National Central Bureau of Interpol in Washington, D.C. The results will be sent back through the State Liaison.
- Requirements for the DNA Profile:
  - The profile must contain results at 7 of the core loci.
  - The submitting laboratory can indicate if they want their profile to be searched more than once, such as on a quarterly basis.

**5.2 Confirm an Intrastate Candidate Match**

**5.2.1 Purpose:** The purpose of this section is to define procedures for confirming intrastate matches produced by the State DNA Index System (SDIS).

**5.2.2 Intrastate Offender Match**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08**A Scenario**

- An Intrastate Offender Match occurs when a DNA profile developed from crime scene evidence by a casework laboratory matches a convicted offender's or arrestee's DNA profile developed by an Offender Laboratory within the same state.
  - In addition, when a DNA profile developed from crime scene evidence by a Casework Laboratory matches a suspect's DNA profile developed by the casework laboratory this is also deemed an Intrastate Offender Match. The procedures for confirming the match shall be determined by the casework laboratory.
- Intrastate Offender Matches are created when the State CODIS Administrator initiates a search of the state database. When the CODIS software discovers a candidate match, a Match Report is distributed to all laboratories responsible for a DNA profile included in the match. The State CODIS Administrator receives a single copy of the Match Report.

**B Responsibilities**

- **Primary Responsibility – Casework Laboratory**
  - Primary responsibility includes contacting the other laboratory to coordinate match follow-up.
- **Secondary Responsibility - Offender Laboratory**
  - Secondary responsibilities include the following:
    - ⇒ Being prepared to respond to inquiries originating from the other laboratory;
    - ⇒ Making a good faith effort to perform its internal match confirmation process, review its DNA data and respond to the casework laboratory within 30 business days of receipt of the request for match follow-up.

**C Procedures**

- **Step 1: Review the Match Report**
  - Qualified DNA analysts at both the Casework and Offender Laboratories review the Match Report to determine if the candidate match requires further confirmation. For PCR loci, this typically includes

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

considering the number of matching loci and evaluating homozygote vs. heterozygote profiles.

- When the offender or arrestee is excluded as a contributor to the forensic unknown, the Casework and Offender Laboratories shall disposition the candidate match as a No Match and the confirmation process stops. Personally identifiable information relating to the offender shall not be exchanged or released.
- When an offender or arrestee is excluded, but a close biological relative can not be excluded, this is referred to as a "Partial Match". This is still dispositioned as a no match in CODIS. Based on statistics and an evaluation by the Technical Leader, the analyst may request confirmation of the offender sample. Once the confirmation is completed, Y STR analysis or mtDNA testing should be considered if sufficient sample is available. If the additional testing supports the familial relationship, then personally identifiable information relating to the offender may be exchanged or released. Forms are provided by SDIS for this procedure.
- **Step 2: Casework Laboratory Examines Case File**
  - At this point, the Casework Laboratory believes the candidate match should be subjected to the confirmation process. The Casework Laboratory retrieves the case file and performs an administrative check to ensure the DNA profile is associated with the case. (The case file typically includes the name of the Submitting Law Enforcement Agency, point of contact, circumstances surrounding the crime, laboratory report and notes, etc.)
- **Step 3: Casework Laboratory Queries Submitting Agency for Disposition of the Case**
  - Using information retrieved from the case file, the Casework Laboratory contacts the submitting agency to determine if the case has been solved.
  - *If the case is solved, it may not be necessary to proceed with the confirmation process.*
- **Step 4: Casework Laboratory Notifies Offender Laboratory**
  - At this point, the Casework and Offender Laboratories begin collaborating. The Casework Laboratory informs the Offender Laboratory that the candidate match requires confirmation, completes the appropriate portion

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

of the Offender Confirmation Form (Figure 5.8) and sends it to the Offender Laboratory.

- *If the case is solved, the Casework Laboratory can determine the information relating to the perpetrator. The Casework and Offender Laboratories may wish to confirm that the perpetrator and the convicted offender are the same individual using step 5.2.4.*
- **Step 5: Offender Laboratory Initiates Internal Match Confirmation Process**
  - At this point, both laboratories are aware that they are confirming a match. After being informed of the existence of a match, the Offender Laboratory initiates the following internal match confirmation process.
    - ⇒ The Offender Laboratory determines the name of the offender or arrestee and all available information. This information may be provided to the casework laboratory, on a case to case basis, prior to completing the match confirmation process in an intrastate match. This information will not be given out until the confirmation process is complete in an interstate match.
    - ⇒ The Offender Laboratory will retrieve the DNA Database collection card containing the fingerprints of the offender or arrestee (if available). A print comparison will be performed by a latent print examiner of the above prints against the prints on file at the AZ D.P.S. Criminal History Record Files.
    - ⇒ A national criminal history record check will be initiated through an Interstate Identification Index request (III Request).
      - 5.2.2.C.(1) Identify if the putative perpetrator is in the WITSEC Program.
      - 5.2.2.C.(2) Verify that the offender was convicted of a qualifying offense.
  - If the offender or arrestee was convicted of a qualifying offense the process continues.
  - If the offender or arrestee was not convicted of a qualifying offense the submitting agency of the casework sample will be notified. The sample will be deleted from the state and national databases, the sample will be destroyed and the verification process will be completed.

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

- ⇒ If the candidate match is made by STR analysis, the offender's sample will be reanalyzed with either Profiler Plus/COfiler or Identifiler STR kits. If not enough of the offender's sample remains on the stain card or buccal swab, a reanalysis of the extracted or amplified product from the stain card may be done using either Profiler Plus/COfiler or Identifiler STR kits. If no convicted offender sample remains, a confirmation will be made by the technical review of the initial STR run.
- ⇒ When comparison in Step 1 has shown that a DNA match is present, the reanalysis has confirmed the offender's or arrestee's profile, and the prints on the databank card (if available) have been confirmed, the match has been confirmed.
- ⇒ In the event that the offender or arrestee samples do not match, the DNA Technical Leader will immediately be informed and will advise as to what process will be followed next.
- At this point, the match is confirmed and has produced an investigative lead in the unsolved case. The Offender Laboratory formally documents the results as described in Steps 6 and 7.
- **Step 6: Offender Laboratory Notifies Casework Laboratory of the Confirmed Match and Both Laboratories Document the Match**
  - In this step, the Offender Laboratory informs the Casework Laboratory about the confirmed match. In the case of a match, the Offender Laboratory will provide the information relating to the perpetrator. In the case of a Conviction Match, the Offender Laboratory will document the fact that the putative perpetrator has provided a DNA sample within Arizona.
    - ⇒ The Offender Laboratory will complete and send the Offender Confirmation Form (Figure 5.8) to the Casework Laboratory and a copy to the State CODIS Administrator.
    - ⇒ The Casework Laboratory will provide notification to the Submitting Law Enforcement Agency which will include offender information from the Offender Confirmation Form (Figure 5.8).

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

- **Step 7: Record Statistics**
  - Although the issuance of a report concludes the SDIS Offender Match confirmation process, it is not the end of the collaboration.
  - In the case of a match, the submitting agency may use the report issued by the Offender Laboratory to obtain a court order authorizing collection of a known biological reference sample from the offender. The Casework Laboratory will then perform a DNA analysis on the known biological sample.
  - The Offender and Casework Laboratories shall disposition matches according to the *CODIS Hit Disposition Reporting Procedure*.

**5.2.3 Intrastate Forensic Match****A Scenario**

- An Intrastate Forensic Match occurs when two or more DNA profiles developed from crime scene evidence by Casework Laboratories within the same state match one another.
- Intrastate Forensic Matches are created when the State CODIS Administrator initiates a search of the state database. When the CODIS software discovers a candidate match, a Match Report is distributed to all laboratories responsible for a DNA profile included in the match. The State CODIS Administrator receives a single copy of the Match Report.

**B Responsibilities**

- **Casework Laboratories:**
  - Each Casework Laboratory is equally responsible for coordinating the match follow-up. The Casework Laboratory contacted for match follow-up shall make a good faith effort to review its DNA data and respond to the requesting laboratory within 30 business days of receipt of the request.

**C Procedures**

- **Step 1: Review the Match Report**
  - Qualified DNA analysts at each of the Casework Laboratories review the Match Report to determine if

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

the candidate match requires further confirmation; this typically includes considering the number of matching loci and evaluating homozygote vs. heterozygote profiles.

- If the Casework Laboratories determine that the candidate match is not a match, the confirmation process stops. The casework laboratories shall disposition the candidate match as a No Match.
- **Step 2: Casework Laboratories Examine Case Files**
  - At this point, one or more of the Casework Laboratories believe the candidate match should be subjected to the confirmation process. Each of the Casework Laboratories retrieves their respective case files and ensures the DNA profiles are associated with the proper cases (The case file typically includes the name of the Submitting Law Enforcement Agency, point of contact, circumstances surrounding the crime, laboratory report and notes, etc.) and the profiles meet the search requirements. If it is discovered that the profile(s) does not meet the search requirements the profile will be categorized differently or deleted from the state and national databases and the confirmation process may continue.
- **Step 3: Casework Laboratories Query Submitting Agencies for Disposition of the Case**
  - Using information retrieved from the case file, each Casework Laboratory contacts their respective submitting agency to determine if their case has been solved.
- **Step 4: Casework Laboratories Contact Each Other, Exchange Information, and Document the Confirmed Match**
  - At this point, the Casework Laboratories begin collaborating. One of the Casework Laboratories contacts the other Casework Laboratory to verify the match and they exchange information. Both laboratories complete and exchange the Forensic Match Forms (Figure 5.9 and Figure 5.10). One is for the candidate laboratory and one is for the target laboratory. A copy of each form should be provided to the State CODIS Administrator.
  - Although either laboratory can initiate communications, both laboratories are equally responsible for ensuring the communication occurs.



**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

- **Step 5: Casework Laboratories Document Confirmed Match in a Report**
  - The Casework Laboratories will provide notification to the Submitting Law Enforcement Agency which will include the information found on the Forensic Match Forms (Figure 5.9 and Figure 5.10).
  - For a solved case matching an unsolved case, the laboratory responsible for the solved case will provide the information relating to the perpetrator. For matching unsolved cases, the laboratories are exchanging enough information so the Submitting Law Enforcement Agencies can contact each other.
- **Step 6: Confirmed Match – Follow up**
  - Although the issuance of a laboratory report concludes the SDIS Forensic Match confirmation process, it is not the end of the collaboration. At a minimum, both laboratories should inform their respective submitting agencies of the existence of a match. The submitting agencies can then exchange information about their respective cases, possibly leading to the identification and prosecution of the offender. There are three possible outcomes:
    - ⇒ The match may link two or more cases, none of which have suspects. This type of match allows investigators to coordinate their activities.
    - ⇒ The match may link a case without a suspect to a case with a suspect. This type of match provides an important lead for investigators of the unknown suspect case. The submitting agency can use the laboratory report to obtain a court order authorizing collection of a known biological reference sample from the putative perpetrator.
    - ⇒ The match may link two or more cases, all of which have suspects.
  - Both laboratories shall disposition matches according to the *CODIS Hit Disposition Reporting Procedure*.

**5.2.4 Confirming Identity when a Convicted Offender's or Arrestee's Profile has Matched a Solved Case**

- A **Scenario:** When CODIS matches a solved case with an offender or arrestee, the laboratories should ensure that the information for the

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

individual arrested for the crime is the same as the offender's or arrestee's. The procedures outlined in this section are optional.

**B Procedures**

- **Step 1: (Solved Case) The Names of the Offender or Arrestee and the Putative Perpetrator are Compared**
  - The initial step involves a comparison of the named convicted offender or arrestee with the name of the putative perpetrator by the laboratory(ies) involved or the Submitting Law Enforcement Agency. If the names are different, the laboratory or the Submitting Law Enforcement Agency will search the criminal history records for the convicted offender's or arrestee's known aliases. If the putative perpetrator's name matches the offender's or arrestee's name (or alias), the Conviction Match is confirmed.
  - If the putative perpetrator's name does not match the offender's or arrestee's name (or alias), continue on to Step 2.
- **Step 2: (Solved Case) Check Identifying Information**
  - The DNA profile from the putative perpetrator matches that of the offender or arrestee, but their names (and aliases) do not match.
  - The laboratory(ies) involved or the Submitting Law Enforcement Agency will obtain the putative perpetrator's identifying information, including fingerprints, if available, and compare that information to the information submitted with the offender's or arrestee's DNA sample.
  - If the identifying information of the putative perpetrator and that of the offender or arrestee match, then the putative perpetrator is using a new alias and the Conviction Match is confirmed. Notification may be provided to the appropriate authorities to update their records to include this new alias.
  - If the identifying information of the putative perpetrator and the offender do not match, continue to Step 3.
- **Step 3: (Solved Case) Offender Laboratory Implements Internal Confirmation Procedure**
  - Once it is determined that the identifying information of the putative perpetrator does not match the identifying information of the offender or arrestee, the Offender

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

Laboratory will follow its internal confirmation procedure to ensure that no administrative errors occurred during sample processing.

- If there were no processing errors, the laboratory involved must notify the Submitting Law Enforcement Agency of the match and that appropriate follow-up is necessary.

**5.3 Confirm an Interstate Candidate Match**

**5.3.1 Purpose:** The purpose of this section is to define procedures for confirming interstate matches produced by the National DNA Index System (NDIS). These procedures are designed to minimize the resources required by state and local laboratories while ensuring candidate matches are properly processed.

**5.3.2 Interstate Offender Match****A Scenario**

- An Interstate Offender Match occurs when a DNA profile developed from crime scene evidence by a Casework Laboratory matches a convicted offender's or arrestee's DNA profile developed by an Offender Laboratory in a different state. For purposes of this section, the term "offender" shall include arrestees and legal specimens authorized by the DNA Identification Act.
- Interstate Offender or Arrestee Matches are created when the NDIS Custodian initiates a search of the national database. When the CODIS software discovers a candidate match, a Match Report is distributed according to the following rules:
- Matches produced by AutoSearcher:
  - All laboratories responsible for a DNA profile included in the match automatically receive a single copy of the Match Report. The state laboratory associated with the local level laboratory's match also receives an electronic copy of the match.
  - The NDIS Custodian receives a single copy of the Match Report.
- Matches produced by Manual Keyboard Searches by the NDIS Custodian:
  - With the approval of the NDIS Custodian, all NDIS participating laboratories responsible for a DNA profile included in the match are manually forwarded an electronic copy of the Match Report. The state

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted. 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

laboratory associated with the local level laboratory's match also receives an electronic copy of the match.

- The NDIS Custodian receives a copy of the Match Report.

**B Responsibilities**

- **Primary Responsibility – Casework Laboratory**
  - Primary responsibility includes contacting the other laboratory to coordinate match follow-up.
- **Secondary Responsibility - Offender Laboratory**
  - Secondary responsibilities include the following:
    - ⇒ Being prepared to respond to inquiries originating from the other laboratory;
    - ⇒ Making a good faith effort to perform its internal match confirmation process, review its DNA data and respond to the casework laboratory within 30 business days of receipt of the request for match follow-up.

**C Procedures**

- **Step 1: Review the Match Report**
  - Qualified DNA analysts at both the Casework and Offender Laboratories review the Match Report to determine if the candidate match requires further confirmation. For PCR loci, this typically includes considering the number of matching loci and evaluating homozygote vs. heterozygote profiles.
  - When the offender or arrestee is excluded as a contributor to the forensic unknown, the Casework and Offender Laboratories shall disposition the candidate match as a No Match and the confirmation process stops. Personally identifiable information relating to the offender shall not be exchanged or released.
  - When an offender or arrestee is excluded, but a close biological relative can not be excluded, this is referred to by NDIS as a "Partial Match". The NDIS Interim Procedure (Interim Plan for the Release of Information in the Event of a "Partial Match" at NDIS) shall be followed. This is still dispositioned a no match in CODIS. Prior to contacting NDIS, the casework laboratory should perform a statistical evaluation and/or

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

have their Technical Leader evaluate the match. Additional testing, such as YSTR analysis or mtDNA testing, should be considered if sufficient sample is available. If the additional testing supports the familial relationship, then personally identifiable information relating to the offender or arrestee may be exchanged or released via the interim procedure.

- **Step 2: Casework Laboratory Examines Case File**
  - At this point, the Casework Laboratory believes the candidate match should be subjected to the confirmation process. The Casework Laboratory retrieves the case file and performs an administrative check to ensure the DNA profile is associated with the case. (The case file typically includes the name of the Submitting Law Enforcement Agency, point of contact, circumstances surrounding the crime, laboratory report and notes, etc.)
- **Step 3: Casework Laboratory Queries Submitting Agency for Disposition of the Case**
  - Using information retrieved from the case file, the Casework Laboratory contacts the submitting agency to determine if the case has been solved.
  - *If the case is solved, it may not be necessary to proceed with the confirmation process.*
- **Step 4: Casework Laboratory notifies Offender Laboratory**
  - At this point, the Casework and Offender Laboratories begin collaborating. The Casework Laboratory informs the Offender Laboratory that the candidate match requires confirmation.
  - *If the case is solved, the Casework Laboratory can determine the information relating to the perpetrator. The Casework and Offender Laboratories may wish to confirm that the perpetrator and the convicted offender are the same individual using step 5.2.4.*
- **Step 5: Offender Laboratory Initiates Internal Match Confirmation Process in an Unsolved Case**
  - At this point, both laboratories are aware that they are confirming a match. After being informed of the existence of a match, the Offender Laboratory initiates its internal match confirmation process described in Step 5 of Section 5.2.2C.
  - At this point, the match is confirmed (hereinafter referred to as “confirmed match”). NDIS has produced an investigative lead in the unsolved case.

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

- **Step 6: Offender Laboratory Notifies Casework Laboratory of the Confirmed Match and Both Laboratories Document the Match**
  - In this step, the Offender Laboratory informs the Casework Laboratory about the confirmed match. In the case of a match, the Offender Laboratory will provide the information relating to the perpetrator. In the case of a Conviction Match, the Offender Laboratory will document the fact that the putative perpetrator has provided a DNA sample in another state.
  - The Casework Laboratory will provide notification of the confirmed match to the Submitting Law Enforcement Agency.
  - Documentation:
    - ⇒ If our state is the Offender Laboratory involved we will send a completed Offender Confirmation Form (Figure 5.8) to the Casework Laboratory and a copy to our State CODIS Administrator.
    - ⇒ If our state is the Casework Laboratory we will obtain the offender's information and send the information to the Submitting Law Enforcement Agency. A form similar to Figure 5.8, will be given to the State CODIS Administrator.
- **Step 7: Record Statistics**
  - Although notification of the confirmed match to the Submitting Law Enforcement Agency concludes the NDIS Offender Match confirmation process, it is not the end of the collaboration.
  - The submitting agency may use the documentation from the Offender Laboratory to obtain a court order authorizing collection of a known biological reference sample from the offender. The Casework Laboratory will then perform a DNA analysis on the known biological sample.
  - The Offender and Casework Laboratories shall disposition matches according to the *CODIS Hit Disposition Reporting Procedure*.

**5.3.3 Interstate Forensic Match****A Scenario**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

- An Interstate Forensic Match occurs when two or more DNA profiles developed from crime scene evidence by Casework Laboratories in different states match one another.
- Interstate Forensic Matches are created when the NDIS Custodian initiates a search of the national database. When the CODIS software discovers a candidate match, a Match Report is distributed according to the following rules:
  - Matches produced by AutoSearcher:
    - ⇒ All laboratories responsible for a DNA profile included in the match receive a single electronic copy of the Match Report. The state laboratory associated with the local level laboratory's match also receives an electronic copy of the match.
    - ⇒ The NDIS Custodian receives a copy of the Match Report.
  - Matches produced by Manual Keyboard Searches by the NDIS Custodian:
    - ⇒ With the approval of the NDIS Custodian, all NDIS participating laboratories responsible for a DNA profile included in the match are manually forwarded an electronic copy of the Match Report. The state laboratory associated with the local level laboratory's match also receives an electronic copy of the match.
    - ⇒ The NDIS Custodian receives a copy of the Match Report from a Manual Keyboard Search.

**B Responsibilities**

- **Casework Laboratories:**
  - Each Casework Laboratory is equally responsible for coordinating the match follow-up. The Casework Laboratory contacted for match follow-up shall make a good faith effort to review its DNA data and respond to the requesting laboratory within 30 business days of receipt of the request.

**C Procedures**

- **Step 1: Review the Match Report**
  - Qualified DNA analysts at each of the Casework Laboratories review the Match Report to determine if the candidate match requires further confirmation; this

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

typically includes considering the number of matching loci and evaluating homozygote vs. heterozygote profiles.

- If the Casework Laboratory determines that the candidate match is not a match, the confirmation process stops. The casework laboratories shall disposition the candidate match as a No Match.
- **Step 2: Casework Laboratories Examine Case Files**
  - At this point, one or more of the Casework Laboratories believe the candidate match should be subjected to the confirmation process. Each of the Casework Laboratories retrieves their respective case files and ensures the DNA profiles are associated with the proper cases and the profiles meet the search requirements. (The case file typically includes the name of the Submitting Law Enforcement Agency, point of contact, circumstances surrounding the crime, laboratory report and notes, etc.) If it is discovered that the profile(s) does not meet the search requirements the profile will be categorized differently or deleted from the state and national databases and the confirmation process may continue.
- **Step 3: Casework Laboratories Query Submitting Agencies for Disposition of the Case**
  - Using information retrieved from the case file, each Casework Laboratory contacts their respective submitting agency to determine if their case has been solved.
- **Step 4: Casework Laboratories Contact Each Other, Exchange Information, and Document the Confirmed Match**
  - At this point, the Casework Laboratories begin collaborating. One of the Casework Laboratories contacts the other Casework Laboratory to verify the match and exchange the information found on Figure 5.9 and Figure 5.10 (Forensic Match Forms). A copy of this information should be provided to the State CODIS Administrator.
  - Although any laboratory can initiate communications, each laboratory is equally responsible for ensuring the communication occurs.
- **Step 5: Casework Laboratories Document the Confirmed Match in a Report**



**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

- The Casework Laboratories will provide notification to the Submitting Law Enforcement Agency. Our state will send documentation similar to Figure 5.9 and Figure 5.10 to the Submitting Law Enforcement Agency.
- For a solved case matching an unsolved case, the laboratory responsible for the solved case will provide the information relating to the perpetrator. For matching unsolved cases, the laboratories are exchanging enough information so the Submitting Law Enforcement Agencies can contact each other.
- Both Casework Laboratories document the confirmed match.
- **Step 6: Confirmed Match – Follow up**
  - Although the issuance of a laboratory report concludes the NDIS Forensic Match confirmation process, it is not the end of the collaboration. At a minimum, both laboratories should inform their respective submitting agencies of the existence of a match. The submitting agencies can then exchange information about their respective cases, possibly leading to the identification and prosecution of the offender. There are three possible outcomes:
    - ⇒ The match may link two or more cases, none of which have suspects. This type of match allows investigators to coordinate their activities.
    - ⇒ The match may link a case without a suspect to a case with a suspect. This type of match provides an important lead for investigators of the unknown suspect case. The submitting agency can use the laboratory report to obtain a court order authorizing collection of a known biological reference sample from the putative perpetrator.
    - ⇒ The match may link two or more cases, all of which have suspects.
  - Both laboratories shall disposition matches according to the *CODIS Hit Disposition Reporting Procedure*.

**5.4 Confirm a mtDNA Match**

**5.4.1 Purpose:** The purpose of this section is to define procedures for confirming a mtDNA match.

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08**5.4.2 Procedures****A Step 1: Review the Match Report**

- A qualified mtDNA analyst will review the Match Report to determine if the candidate match requires further confirmation. This may typically include considering the number of matching mtDNA polymorphic sites and the number of matching reference samples.
- If it is deemed that the candidate match is not a match, the process effectively stops. The laboratories involved in the candidate match should exchange this information via telephone, facsimile, or e-mail. The candidate match is dispositioned as a No Match.

**B Step 2: Examine Case Files**

- At this point the candidate match should be subjected to the confirmation process. The case files should be retrieved to ensure the mtDNA profiles are associated with the proper cases. (The case file typically includes the name of the Submitting Law Enforcement Agency, point of contact, circumstances surrounding the case, laboratory report, notes, etc.)
- The information containing the polymorphic positions for the biological relative of a missing person sample(s) and the unidentified remains sample(s) must be reviewed.

**C Step 3: Sample Re-Analysis**

- The reference sample(s) from the biological relative of a missing person and the unidentified human remains sample(s) may be re-analyzed to confirm that a sample switch did not occur.

**D Step 4: Exchange of Information and Documentation of a Confirmed Match**

- Once the match has been confirmed, the laboratories exchange information. This can be done using the mtDNA Match Forms (Figure 5.11 and Figure 5.12). One form is for the candidate laboratory and one is for the target laboratory. A copy of each form will be provided to the State CODIS Administrator.

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

- The Submitting Law Enforcement Agency will be provided the information found on the mtDNA Match Forms.
- Statistics on these matches should be recorded.

5.5 **CODIS Hit Disposition Reporting** – follow the CODIS Hit Disposition Reporting procedure in the NDIS Procedures Manual.



## ARIZONA DEPARTMENT OF PUBLIC SAFETY SCIENTIFIC ANALYSIS BUREAU

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

(Agency Letterhead)

**Offender Confirmation Form**

Request Date: \_\_\_\_\_

Report Date: \_\_\_\_\_

During a search of the State's (or National) DNA Index System (SDIS) or (NDIS), a match occurred between the following specimen numbers. The purpose of this report is to inform you of a possible investigative lead related to the casework specimen number. The offender specimen has been re-examined and this match has been confirmed. **The submitting agency must obtain an additional DNA sample from the subject and this sample must be re-examined by the casework laboratory.**

**Requesting Agency Information**

Administrator:

ORI#

Casework Analyst:

Agency:

Address:

Telephone:

Fax:

Email:

**Confirmation Agency Information**

Analyst:

ORI#

Agency:

Address:

Telephone:

Fax:

Email:

Casework Specimen ID#: \_\_\_\_\_

Submitting Agency: \_\_\_\_\_

Offender Specimen ID#: \_\_\_\_\_

This match has been determined to be a: ☐ Match ☐ No Match**Putative Perpetrator's Identifying Information**

Name:

DOB:

Race:

State ID#

FBI#:

Qualifying Offense:

**Offender's Whereabouts, If Know:**

Institution:

Address:

Telephone:

Institutional Receive Date:

Projected Release Date:

Comments:

**Figure 5.8 Offender Confirmation Form (SDIS or NDIS)**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

(Agency Letterhead)

**Forensic Match Form**

Request Date: \_\_\_\_\_

During a search of the State's (or National) DNA Index System (SDIS) or (NDIS), a match occurred between the following specimen numbers. The purpose of this report is to inform you of a possible investigative lead related to these specimen numbers.

Target Lab Information	
Analyst:	ORI:
Agency:	
Address:	
Telephone :	Fax:
Email:	

Target Lab Specimen ID#: \_\_\_\_\_

Candidate Lab Specimen ID#: \_\_\_\_\_

This match has been determined to be a: ☐ Match ☐ No MatchThe target lab's case is: ☐ Solved ☐ Unsolved

Target Lab Investigator's Contact Information
Name:
Address:
Telephone:
Fax:
Email:
Agency:
Agency Case Number:

Comments:

**Figure 5.9 Forensic Match Form – Target Lab (SDIS or NDIS)**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

(Agency Letterhead)

**Forensic Match Form**

Request Date: \_\_\_\_\_

During a search of the State's (or National) DNA Index System (SDIS) or (NDIS), a match occurred between the following specimen numbers. The purpose of this report is to inform you of a possible investigative lead related to these specimen numbers.

Candidate Lab Information	
Analyst:	ORI:
Agency:	
Address:	
Telephone :	Fax:
Email:	

Target Lab Specimen ID#: \_\_\_\_\_

Candidate Lab Specimen ID#: \_\_\_\_\_

This match has been determined to be a: ☐ Match ☐ No MatchThe candidate lab's case is: ☐ Solved ☐ Unsolved

Candidate Lab Investigator's Contact Information
Name:
Address:
Telephone:
Fax:
Email:
Agency:
Agency Case Number:

Comments:

**Figure 5.10 Forensic Match Form – Candidate Lab (SDIS or NDIS)**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

(Agency Letterhead)

**mtDNA Match Form**

Request Date: \_\_\_\_\_

During a search of the State's (or National) DNA Index System (SDIS) or (NDIS), a match occurred between the following specimen numbers. The purpose of this report is to inform you of a possible investigative lead related to these specimen numbers.

Target Lab Information	
Analyst:	ORI:
Agency:	
Address:	
Telephone :	Fax:
Email:	

Target Lab Specimen ID#: \_\_\_\_\_

Candidate Lab Specimen ID#: \_\_\_\_\_

This match has been determined to be a: ☐ Match ☐ No Match

Target Lab Investigator's Contact Information
Name:
Address:
Telephone:
Fax:
Email:
Agency:
Agency Case Number:

Comments:

**Figure 5.11 mtDNA Match Report – Target Lab (SDIS or NDIS)**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08**mtDNA Forensic Match Form**

Request Date: \_\_\_\_\_

During a search of the State's (or National) DNA Index System (SDIS) or (NDIS), a match occurred between the following specimen numbers. The purpose of this report is to inform you of a possible investigative lead related to these specimen numbers.

Candidate Lab Information	
Analyst:	ORI:
Agency:	
Address:	
Telephone :	Fax:
Email:	

Target Lab Specimen ID#: \_\_\_\_\_

Candidate Lab Specimen ID#: \_\_\_\_\_

This match has been determined to be a: ☐ Match ☐ No Match

Candidate Lab Investigator's Contact Information
Name:
Address:
Telephone:
Fax:
Email:
Agency:
Agency Case Number:

Comments:

**Figure 5.12 mtDNA Match Report – Candidate Lab (SDIS or NDIS)**



**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08**6 Laboratory Audits and External Proficiency Testing**

**6.1 Purpose:** The purpose of this section is to establish the procedures the FBI will use to confirm that laboratories participating in NDIS are performing laboratory audits and to establish procedures the state laboratory will use to confirm that qualified DNA analysts perform external proficiency tests.

**6.2 Responsibilities:** The State CODIS Administrator is responsible for collecting all information from participating laboratories within the state and any contract laboratories performing analyses for laboratories within the state, maintaining copies, and forwarding required documentation to the FBI. All official correspondence related to NDIS shall be between the State CODIS Administrator and the NDIS Custodian.

**6.3 Laboratory Audit**

**6.3.1** The Justice for All Act of 2004 (which amended the DNA Identification Act of 1994) included a requirement that laboratories participating in the National DNA Index System (NDIS) “undergo external audits, not less than once every two years, that demonstrate compliance with standards established by the Director of the Federal Bureau of Investigation.”

**6.3.2** The Quality Assurance Standards for Forensic DNA Testing Laboratories took effect on October 1, 1998, and the Quality Assurance Standards for Convicted Offender DNA Databasing Laboratories took effect on April 1, 1999. These provisions govern laboratories that participate in NDIS. Standards 15.1 and 15.2 of these Quality Assurance Standards describe the audit requirements for laboratories. They include:

- A** The laboratory shall conduct audits annually. Audit procedures shall address at a minimum: quality assurance program, organization and management, personnel, facilities, evidence control, validation, analytical procedures, calibration and maintenance, proficiency testing, corrective action, reports, review, safety, previous audits and subcontracting.
- B** The laboratory shall retain all documentation pertaining to audits in accordance with relevant legal and agency requirements.
- C** Once every two years, a second agency shall conduct an external audit.

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

D These auditing requirements apply to contract laboratories used by NDIS participating laboratories as well as the NDIS participating laboratories.

6.3.3 Each year the NDIS Custodian will request certification of the audits performed from the states.

6.3.4 Annually, on a schedule to be determined by the NDIS Custodian, the NDIS Custodian will send a letter (Figure 6.1) to the State CODIS Administrator requesting certification that all participating laboratories in the state are undergoing laboratory audits. The letter will contain a date by which the required information must be submitted to the FBI; this will normally be 20 business days after the initial letter.

6.3.5 The local laboratories shall send the State CODIS Administrator a certification letter (Figure 6.2) and a certification document (Figure 6.3) every year. Contract Laboratories shall send notification (Figure 6.4 and Figure 6.5) of audit certification to their contracting laboratory every year. The State CODIS Administrator shall collect audit information from the participating laboratories and the certification documents shall remain on file at the state level in the event that the FBI may request a copy(ies).

6.3.6 The state certification letter (Figure 6.2) will be forwarded to the appropriate FBI files.

6.3.7 All external audit documents shall be forwarded to the FBI for review by each local laboratory according to Section 7 (Review of External Audits) of this procedures manual.

#### **6.4 External Proficiency Testing**

6.4.1 Every qualified DNA analyst must undergo semiannual external proficiency testing by a DNA proficiency testing program meeting the standards contained in the FBI Director's QA Standards.

6.4.2 The semiannual proficiency testing requirement applies to qualified DNA analysts at contract laboratories used by an NDIS participating laboratory as well as state and local personnel.

6.4.3 To ensure that this testing is being performed, the NDIS Custodian will request certification from each State CODIS Administrator annually.

6.4.4 The State CODIS Administrator will collect proficiency testing information from their participating local laboratories annually. The local laboratories shall

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

send the State CODIS Administrator a letter similar to (Figure 6.6) and a Qualified DNA Analyst External Proficiency Testing Document (Figure 6.7) for each qualified DNA analyst. The State CODIS Administrator will send the NDIS Custodian a letter similar to (Figure 6.6) certifying that the qualified DNA analysts for their state are undergoing semiannual external proficiency testing in accordance to the FBI Director's QA Standards and the Qualified DNA Analyst External Proficiency Testing Documents will remain at the state level.

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

(Letter will be on FBI Letterhead)

*(Laboratory Name and Address)**(date)*Dear Mr./Ms. *(Name of State CODIS Administrator)*:

In accordance with the DNA Identification Act, as amended, and the NDIS Memorandum of Understanding, every laboratory participating in NDIS must undergo periodic audits.

Annually, the FBI requests certification that this audit process is being performed. You are requested to provide written certification, by *(date)*, that each laboratory in your state has undergone an audit.

The NDIS Operational Procedure *Laboratory Audits* provides a recommended format for your response letter and an optional document for collecting this information from laboratories. You are responsible for certifying the audit results of all laboratories within your state and maintaining this information for future reference. Additionally, for all external audits, you are required to provide a copy of the final audit document for review and that audit document will be returned to you upon completion of the review.

Sincerely,

*(NDIS Custodian Name)*

NDIS Custodian

FBI Laboratory

**Figure 6.1 Sample Letter Initiating Annual Laboratory Certification**



## ARIZONA DEPARTMENT OF PUBLIC SAFETY SCIENTIFIC ANALYSIS BUREAU

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

(Agency Letterhead)

NDIS Custodian  
FBI Laboratory  
Room 1120  
2501 Investigation Parkway  
FBI Academy Complex  
Quantico, VA 22135

(or)

SDIS Custodian  
Arizona DPS Central Laboratory  
PO Box 6638, Mail Drop #1150  
Phoenix, AZ 85005-6638

(date)

Dear NDIS/SDIS Custodian:

I certify that the NDIS Participating and contract laboratories in the state of *(name of state)* have undergone the required audits. A list of laboratories and the results of the audit follow:

*For each laboratory the State CODIS Administrator will list the name of the laboratory and check each applicable box.*

Laboratory Name

☐

External Audit

☐

Internal Audit

Date of Audit (MM/DD/YYYY)

☐

External Audit; a copy was submitted to the NDIS Custodian

☐

No Corrective Actions Were Required

☐

Corrective Actions Required and then:

☐

Corrective Actions Taken

(Signature)

(Title)

**Figure 6.2 Sample Laboratory Certification**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date 4/4/08**Laboratory Audit Certification**

I certify that this laboratory has undergone an audit during the previous year and further that: (1) if it was an external audit, a copy of the audit document has been submitted to the NDIS Custodian; and (2) if the audit recommended that corrective actions were needed, that the corrective actions were completed or that the date by which they will be completed is \_\_\_\_\_.

Was this an external audit?

Yes ☐No ☐

Laboratory ORI Number: \_\_\_\_\_

\_\_\_\_\_  
Signature of Laboratory Director\_\_\_\_\_  
Date**Figure 6.3 Laboratory Certification Document**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

(Agency Letterhead)

(Laboratory Name and Address)

(date)

Dear CODIS Administrator:

I certify that the contract laboratory for the state of (*name of state*) has undergone the required audits.Laboratory Name      ☐ External Audit      ☐ Internal Audit\_\_\_\_\_  
Date of Audit (MM/DD/YYYY)

- ☐ External Audit;  
☐ No Corrective Actions Were Required  
☐ Corrective Actions Required and then:  
☐ Corrective Actions Taken

(Signature)

(Title)

**Figure 6.4 Sample Contract Laboratory Certification**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08**Laboratory Audit Certification**

I certify that this laboratory has undergone an audit during the previous year and further that if the audit recommended that corrective actions were needed, that the corrective actions were completed or that the date by which they will be completed is \_\_\_\_\_.

Was this an external audit?

Yes ☐No ☐

Laboratory ORI Number: \_\_\_\_\_

\_\_\_\_\_  
Signature of Laboratory Director\_\_\_\_\_  
Date**Figure 6.5 Contract Laboratory Certification Document**



**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

(Agency Letterhead)

NDIS Custodian  
FBI Laboratory  
Room 1120  
2501 Investigation Parkway  
FBI Academy Complex  
Quantico, VA 22135

(or)

SDIS Custodian  
Arizona DPS Central Laboratory  
PO Box 6638, Mail Drop #1150  
Phoenix, AZ 85005-6638

(date)

Dear SDIS/NDIS Custodian:

In accordance with the DNA Identification Act, as amended, I am certifying that all qualified DNA analysts from NDIS Participating and contract laboratories have undergone semiannual external proficiency testing from a DNA proficiency testing program meeting the standards issued under the DNA Identification Act.

A *Qualified DNA Analyst External Proficiency Testing* document for each analyst is attached.

I certify that if the results for any analyst were unsatisfactory, appropriate corrective actions have been taken.

(Signature)

(Title)

**Figure 6.6 Sample Certification Letter**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08**Qualified DNA Analyst External Proficiency Testing**

Laboratory: \_\_\_\_\_

ORI Number: \_\_\_\_\_

DNA Analyst Name: \_\_\_\_\_

In accordance with the DNA Identification Act, as amended, and the NDIS Memorandum of Understanding, every qualified DNA analyst must undergo semiannual external proficiency testing by a DNA proficiency testing program meeting the standards issued under the DNA Identification Act.

History of testing for calendar year \_\_\_\_\_:

Test 1, Test 2 or Test Previously Reported as NA	External Proficiency Test Provider <sup>1</sup>	Results <sup>2</sup>	Comments <sup>3</sup>

\_\_\_\_\_  
Signature of Laboratory Director\_\_\_\_\_  
Date\_\_\_\_\_  
Laboratory Director's Name<sup>1</sup> Provide the name (Company) of the External Proficiency Test Provider.<sup>2</sup> Indicate "Satisfactory - S," "Unsatisfactory - U," or "Not Available - NA"; where Satisfactory means that all matches, nonmatches, and reported genotypes/phenotypes were correctly reported; Unsatisfactory means that a genotype/phenotype was reported incorrectly, that a match was reported incorrectly (when no match exists), or that a nonmatch was reported incorrectly (when a match does exist); or if the results for the most recent test have not been received, use "Not Available."<sup>3</sup> Provide comments, if necessary.**Figure 6.7 Qualified DNA Analyst External Proficiency Testing Document**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08**7 Review of External Audits**

- 7.1 Purpose:** The purpose of this document is to establish procedures that will be used to demonstrate compliance with the FBI Director's Quality Assurance Standards (QAS). This document is written for NDIS Participating Laboratories and DNA personnel monitoring compliance with the external QAS audits for NDIS participation.
- 7.2 Process for Changing the Document:** Revisions to these procedures are controlled by a defined process, as described in the NDIS procedure *Changing NDIS Procedures and Policies* at the national level and then incorporated in to our State CODIS Procedures.
- 7.3 Responsibilities:** Pursuant to the DNA Identification Act of 1994, the FBI is responsible for assuring that the DNA data in the national DNA index was analyzed in accordance with publicly available national standards that meet or exceed the FBI Director's *Quality Assurance Standards for Forensic DNA Testing Laboratories* and *Quality Assurance Standards for Convicted Offender DNA Databasing Laboratories*. Access to the national DNA index is subject to cancellation if the quality control standards are not met.
- 7.4 Quality Assurance Standards – Audit Requirements**
- 7.4.1** In accordance with the DNA Identification Act of 1994, the Director of the FBI issued the following quality assurance standards:
- A Quality Assurance Standards for Forensic DNA Testing Laboratories, Effective October 1, 1998
  - B Quality Assurance Standards for Convicted Offender DNA Databasing Laboratories, effective April 1, 1999
- 7.4.2** Standard 15.1 in each of the Quality Assurance Standards documents requires that the laboratory conduct an annual audit to determine compliance with a list of criteria.
- 7.4.3** Standard 15.2 in each of the Quality Assurance Standards documents requires that once every two years, a second agency shall participate in the annual audit (hereinafter referred to as "external QAS audit").
- 7.4.4** Procedures for the certification and documentation required of NDIS participating laboratories of compliance with the annual QAS audit are found in the CODIS Procedure Manual section entitled "Laboratory Audits".

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

7.4.5 This Procedure applies only to the external QAS audit. Additionally, this Procedure applies to each NDIS participating laboratory.

7.4.6 Laboratories should continue to follow their previously determined audit schedules.

**7.5 Quality Assurance Standard Audit Review – General Overview**

7.5.1 In response to a finding by the Office of Inspector General (June, 2001) that the self-certification of compliance with the FBI Director's QAS was insufficient to ensure that audit findings, if any, were appropriately resolved, the FBI Laboratory developed a program to review the external QAS audits conducted on NDIS participating laboratories. Therefore, to fulfill its obligations under the DNA Identification Act of 1994, the FBI Laboratory will review the external QAS audits of laboratories seeking to participate in NDIS and NDIS participating laboratories to evaluate any findings and determine if further action is warranted.

7.5.2 To facilitate the review process, NDIS participating laboratories shall forward the audit report to the NDIS Custodian upon their receipt of the report. The NDIS Custodian will review the report and if there are no findings, the review shall be deemed complete and the documentation returned to the NDIS participating laboratory. If there are findings that do not relate to DNA and/or a laboratory's participation in NDIS, the review shall also be deemed complete and the documentation returned to the NDIS participating laboratory. However, if there are any findings relating to DNA and/or a laboratory's participation in NDIS, the report shall be forwarded to the NDIS Audit Review Panel. The NDIS Audit Review Panel will review the audit report and determine if all the findings have been addressed/resolved, as necessary. If there are no findings but comments are present, the external audit report shall be forwarded to the chair of the NDIS Audit Review Panel for review and possible action. If further action is warranted, the Chair of the NDIS Audit Review Panel will follow up with the NDIS participating laboratory to resolve any outstanding issues. In the event that the NDIS participating laboratory fails to respond to the NDIS Audit Review Panel or that there appears to be noncompliance with the QAS, the matter shall be referred to the NDIS Procedures Board for further action in accordance with the DNA Identification Act of 1994.

7.5.3 All audit documents and related communications will be returned to the NDIS participating laboratory for filing upon completion of the review process.

7.5.4 For purposes of this Procedure for the review of external audits, all references to the NDIS Custodian shall include the NDIS Custodian or his/her designee.

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08**7.6 Quality Assurance Standard Audit Review – Procedures****7.6.1 Notification of External Audit and Forwarding of Audit Documents**

- A It shall be the responsibility of each local NDIS participating laboratory to arrange and schedule an external QAS audit once every two years. All external QAS audits of NDIS participating laboratories, even if conducted every year shall be provided to the FBI for review. After January 1, 2002, the NDIS participating laboratory shall have only those persons who have successfully completed the FBI training course for the QAS Audit Document perform such external QAS audit.
- B Effective January 1, 2007, at least one participant of the external auditing team shall be or have been a previously qualified analyst in the specific DNA technology (STR, mtDNA) and instrument platform (capillary electrophoresis, real time gel-based detection, or end product gel-based detection) used by the laboratory being audited. Additionally, at least one participant in the external auditing team shall be experienced in the type of analyses (databasing or forensic) being performed by the laboratory being audited.
- C The NDIS participating laboratory shall notify the NDIS Custodian once the external QAS audit has been conducted and that the audit report will be forwarded for review within (30) days. The NDIS participating laboratory shall include with the audit report the clarifications, responses and corrective action plan/documents (hereinafter referred to as “audit documentation”) necessary for a thorough review of the audit. (The audit documentation shall include, but not be limited to, documentation that the corrective action plan/documents, such as revised procedures and/or protocols, have been implemented by the laboratory. For example, revisions to a laboratory’s Quality Assurance Manual must include documentation of the date the revision was approved.) The NDIS Custodian shall acknowledge this communication. Sample letters for the NDIS participating laboratory and NDIS Custodian are included in Figure 7.1 and Figure 7.2. The laboratory and NDIS Custodian may use email for the notification and confirmation communications.
- D If the NDIS participating laboratory is unable to forward the required documentation within thirty (30) days, the NDIS participating laboratory shall notify the NDIS Custodian to request an extension of time for sending the required audit documentation.

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08**7.6.2 NDIS Audit Review Panel(s)**

- A Once the audit documentation is received and forwarded by the NDIS Custodian, the chair of the NDIS Audit Review Panel shall review the documentation to ensure that the findings have been resolved and, if necessary, follow up with the NDIS participating laboratory.
- B There shall be multiple NDIS Audit Review Panels sufficient to address the number of external QAS audits requiring review. An NDIS Audit Review Panel shall consist of five qualified or previously qualified DNA examiners/analysts that have successfully completed the training on the QAS Audit Document: (1) at least two of whom shall be representatives of state and local forensic DNA laboratories; and (2) at least two of whom shall be representatives of the FBI. The FBI shall designate a Chair who shall serve as chair of each such panel and shall have voting privileges. NDIS Audit Review Panel members shall provide their comments, if any, to the Chair of the NDIS Audit Review Panel.
- C The NDIS Audit Review Panel members shall have thirty (30) days to complete their review and communicate their findings to the chair of the NDIS Audit Review Panel. In the event an NDIS Audit Review Panel member is unable to perform their review within the 30 days, he/she shall notify the chair of the NDIS Audit Review Panel.
- D In the event that the NDIS Audit Review Panel has identified issues relating to an external audit conducted by an accrediting body in connection with an accreditation or reaccreditation, the NDIS Audit Review Panel may consult with a representative of the accrediting body in their review of the audit. This consultation is intended to resolve any potential inconsistent interpretations between the accrediting body and the NDIS Audit Review Panel. For example, if the NDIS Audit Review Panel identified an issue with an audit conducted by the American Society of Crime Laboratory Directors/Laboratory Accreditation Board (ASCLD/LAB) in connection with an application for accreditation, the NDIS Audit Review Panel could request the assistance of an ASCLD/LAB Board representative in discussing and resolving the issue.
- E In the event that the NDIS Audit Review Panel has identified issues relating to an external audit that was not conducted in connection with an accreditation or reaccreditation, the NDIS Audit Review Panel may

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

consult with the auditor(s) who conducted such audit and request clarification or additional information.

- F The Chair of the NDIS Audit Review Panel shall conclude their review (Figure 7.3) and notify the NDIS Custodian or NDIS Procedures Board, as applicable, in accordance with one of the following:
- (A) Laboratory complied with external QAS audit requirement and QAS
  - (B) Laboratory did not respond to requests for clarification/additional information; or
  - (C) Laboratory did not comply with external QAS audit requirement and/or QAS.
- G If the NDIS participating laboratory received a finding of (A), the NDIS Custodian shall respond in writing with a letter similar to (Figure 7.4) to the NDIS participating laboratory and all audit documentation shall be returned to the laboratory for filing. A laboratory may be found to be in compliance with the external QAS audit and QAS even though findings were noted in the audit report as long as the corrective action plan/documents addressed those findings. In the event that the corrective action plan had not been implemented within the time frame required for the determination of the NDIS Audit Review Panel, the NDIS Audit Review Panel may make a preliminary determination of compliance with the QAS subject to their verification of satisfactory implementation of the corrective action plan by a specified date. As appropriate, the NDIS Custodian may require that the next regularly scheduled audit of the NDIS participating laboratory be an external audit in order to document compliance with the QAS.
- H If the NDIS participating laboratory did not respond to requests for clarification/additional information (B) or did not comply with external QAS audit requirement and/or QAS (C), the audit documentation may be forwarded to the NDIS Procedures Board for further action. If the NDIS Audit Review Panel found that the laboratory did not comply with the external QAS audit requirements and/or QAS, the NDIS Audit Review Panel shall refer the matter to the NDIS Procedures Board.

**7.6.3 NDIS Procedures Board**

- A The NDIS Procedures Board shall review all external QAS audits referred to them by the NDIS Custodian.

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08**B For (B) Findings – Laboratory did not respond to requests for clarification/additional information**

- In instances in which the NDIS Audit Review Panel is unable to resolve a matter because of the NDIS participating laboratory's failure to clarify its position or provide additional information, the NDIS Procedures Board shall send a written request (Figure 7.5) to the Laboratory Director requesting the clarification/information within two weeks. In the event that the Laboratory Director does not respond to the request for clarification/information within the requisite time frame, the NDIS Procedures Board shall notify the Laboratory Director in writing (Figure 7.6) (with a copy to the appropriate Agency Head) that the participating laboratory's failure to respond within one week shall result in canceling that laboratory's access to NDIS in accordance with the DNA Identification Act of 1994.

**C For (C) Findings – Laboratory did not comply with external QAS audit requirement and/or QAS**

- In instances in which the NDIS Audit Review Panel found that the NDIS participating laboratory did not comply with the external QAS audit or QAS, the NDIS Procedures Board shall send a written request (Figure 7.5) (with a copy to the State CODIS Administrator) to the Laboratory Director requesting a response within two weeks. In the event that the Laboratory Director does not respond within the requisite time frame, the NDIS Procedures Board shall notify the Laboratory Director in writing (Figure 7.6) (with copies to the appropriate Agency Head and the State CODIS Administrator) that the participating laboratory's failure to respond within one week shall result in canceling the laboratory's access to NDIS in accordance with the DNA Identification Act of 1994.

**D If the Laboratory Director does respond and contests the determination of the NDIS Audit Review Panel, the NDIS Procedures Board shall provide the Laboratory Director or his/her representative an opportunity to appear before the NDIS Procedures Board to explain the position of the participating laboratory. Within two weeks of such hearing, the NDIS Procedures Board shall notify the Laboratory Director of its decision and the reasons therefore in writing. The Laboratory Director may appeal the decision of the NDIS Procedures Board within two weeks to the Deputy Assistant Director of the FBI**



**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

Laboratory. The determination of the FBI Deputy Assistant Director shall be rendered within two weeks and shall be considered the final determination.

- E All correspondence with the NDIS participating laboratory by the NDIS Procedures Board shall be sent by an overnight carrier service that can be tracked and receipt of which can be confirmed.

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

(Agency Letterhead)

NDIS Custodian  
FBI Laboratory  
Room 1120  
2501 Investigation Parkway  
FBI Academy Complex  
Quantico, VA 22135

(date)

Dear NDIS Custodian:

I am writing to notify you that an external QAS audit was conducted of the *(name of NDIS participating laboratory)* on *(date of external QAS audit)*. The audit was conducted by *(name of qualified auditor)*.

The audit report and any clarifications, responses and/or corrective action plan/documents shall be forwarded to you within thirty days.

If you have any questions, I can be reached at *(phone number)*.

Sincerely,

*(Laboratory Administrator)*  
*(Title)*  
*(Laboratory Name)*

**Figure 7.1 Sample Notification Letter of Completion of External QAS Audit**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted. 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

(Letter will be on FBI Letterhead)

*(Laboratory Name and Address)**(date)*Dear Mr./Mrs. *(contact at NDIS Participating Laboratory)*:

This will acknowledge receipt of your notification that an external Quality Assurance Standard audit was conducted on *(date)* for your laboratory.

Please forward the audit report and any clarifications, responses and/or corrective action plan/documents within thirty days.

Thank you for your assistance in this process.

Sincerely,

*(NDIS Custodian Name)*NDIS Custodian  
FBI Laboratory**Figure 7.2 Sample Letter Acknowledging Notification of External QAS Audit**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

TO: NDIS Audit Review Panel

FROM: NDIS Custodian

SUBJECT: External QAS Audit of (*name of NDIS participating laboratory*)

DATE: MM/DD/YY

Attached is the external QAS audit documentation received on (*date of receipt*) for the above-referenced laboratory.

Please review this documentation and forward your findings as indicated below either to me or to the NDIS Procedures Board by (*date thirty days from receipt*). Thank you for your assistance in this matter.

Attachment(s)

---

TO: Chair, NDIS Audit Review Panel  
NDIS Procedures Board

FROM: NDIS Audit Review Panel Members

DATE: MM/DD/YY

Following is our determination with respect to the audit documentation provided by the above-referenced laboratory which was received on (*date of receipt*):

- (A) Laboratory complied with external QAS audit requirement and QAS;
- (B) Laboratory did not respond to requests for clarification/additional information; or
- (C) Laboratory did not comply with external QAS audit requirement and/or QAS

Attached is the audit documentation and any information supporting a determination relating to (B) or (C), for further action, as deemed appropriate.

Attachment(s)

**Figure 7.3 Sample Memoranda for NDIS Audit Review Panel Members**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

(Letter will be on FBI Letterhead)

*(Laboratory Name and Address)**(date)*Dear Mr./Ms. *(contact at NDIS Participating Laboratory)*:

This is to acknowledge receipt of the audit documentation relating to the external Quality Assurance Standard audit conducted on *(date of audit)*.

A review of your audit documentation, which is enclosed, found your laboratory to be in compliance with the external audit requirement and the FBI Director's Quality Assurance Standards.

Thank you for your assistance in this matter.

Sincerely,

*(NDIS Custodian Name)*NDIS Custodian  
FBI Laboratory

Enclosure(s)

**Figure 7.4 Sample Notification by NDIS Custodian of Determination**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

(Letter will be on FBI Letterhead)

Laboratory Director  
(*Laboratory Name and Address*)

(date)

Dear Mr./Ms. (*Laboratory Director*):

In accordance with the requirements for participation in the National DNA Index System (NDIS), we have received the audit documentation for the external audit of your laboratory's DNA section conducted on (*date of audit*).

*If laboratory did not respond to requests for clarification/additional information – (B) Findings*

A review of the submitted audit documentation resulted in several requests to (*name of individual*) at your laboratory for the clarification/information needed to resolve outstanding issues. Unfortunately, we have not yet received the requested clarification/information. In accordance with the NDIS Procedures for Review of External Audits, we are notifying you that the requested clarification/information must be submitted to the NDIS Procedures Board within two weeks of your receipt of this letter.

*If laboratory did not comply with external QAS audit requirement and/or QAS – (C) Findings*

A review of the submitted audit documentation indicates that your laboratory is not in compliance with the external audit requirement and/or the FBI Director's *Quality Assurance Standards for Forensic DNA Testing Laboratories* (or *Quality Assurance Standards for Convicted Offender DNA Databasing Laboratories*). To date, we have been unable to resolve this matter with (*name of individual*) of your laboratory. In accordance with the NDIS Procedures for Review of External Audits, we are notifying you have the opportunity to respond to this determination within two weeks of your receipt of this letter. Additionally, if you wish, you will be afforded an opportunity to appear before the NDIS Procedures Board to respond to or challenge this determination.

We appreciate your prompt response to this request. If you have any questions concerning this matter, please contact (*name of Chair of NDIS Procedures Board*) at (*phone number*).

Sincerely,

(Chair of NDIS PPRB)  
for NDIS Procedures Board

cc: State CODIS Administrator

**Figure 7.5 Sample Notification of Determination by NDIS Procedures Board**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

(Letter will be on FBI Letterhead)

Laboratory Director  
(Laboratory Name and Address)

(date)

Dear Mr./Ms. (Laboratory Director):

This is to follow-up on our earlier correspondence dated (date) relating to your laboratory's external audit as required by the FBI Director's Quality Assurance Standards.

To date, we have not received any response to our previous letter, which is enclosed, (*requesting clarification or additional information or a response*). Thus, in accordance with the DNA Identification Act of 1994, the Memorandum of Understanding with your agency (or state) and the NDIS Procedures for Review of External Audits, we regret to inform you that your access to the National DNA Index System shall be cancelled effective (*date one week from date of letter*).

We appreciate your prompt response to this notification. If you have any questions concerning this matter, please contact (*name of Chair of NDIS Procedures Board*) at (*phone number*).

Sincerely,

(Chair of NDIS PPRB)  
For NDIS Procedures Board

Enclosure

cc: Agency Head  
State CODIS Administrator

**Figure 7.6 Sample Notification of Cancellation of NDIS Access by NDIS Procedures Board**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08**8 DNA Data Acceptance****8.1 DNA Data Accepted at SDIS and NDIS**

**8.1.1 Purpose:** The purpose of this document is to define and clarify the types of DNA records that are accepted at the state and national levels and may be uploaded to SDIS and NDIS. This document is written for CODIS Administrators and CODIS Users who will be uploading DNA records to SDIS and NDIS.

**8.1.2 Process for Changing the Document:** Revisions to these procedures are controlled by a defined process, as described in the NDIS procedure entitled *Changing NDIS Procedures and Policies* at the national level and then incorporated into our State CODIS Procedures.

**8.1.3 DNA Records Accepted at SDIS and NDIS**

A In accordance with the DNA Identification Act of 1994, as amended, the following categories of DNA records may be stored and searched in the State and National DNA Index System:

- **Arrestee:** The known sample from a person who has been arrested or charged in an indictment or an information with a crime and in accordance with the law of the applicable jurisdiction is required to provide a DNA sample for analysis and entry into a state DNA database. The DNA profile for this specimen category is stored in the Arrestee Index. Please refer to the procedures on "Expunge a DNA Profile" for the specific expungement requirements applicable to this specimen category.
- **Biological Child:** The known reference sample voluntarily provided by an adult, child or provided with the parental/guardian consent for a minor child of a reported missing person. The DNA profile for this specimen category is stored in the Relatives of Missing Person Index. Once the individual has been identified for which this reference sample is in this index, this specific DNA profile must be removed from this index.
- **Biological Father:** The known reference sample voluntarily provided by the biological father of a reported missing person. The DNA profile for this specimen category is stored in the Relatives of Missing Person Index. Once the individual has



**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

- been identified for which this reference sample is in this index, this specific DNA profile must be removed from this index.
- **Biological Mother:** The known reference sample voluntarily provided by the biological mother of a reported missing person. The DNA profile for this specimen category is stored in the Relatives of Missing Person Index. Once the individual has been identified for which this reference sample is in this index, this specific DNA profile must be removed from this index.
  - **Biological Sibling:** The known reference sample voluntarily provided by the biological sibling of a reported missing person. The DNA profile for this specimen category is stored in the Relatives of Missing Person Index. Once the individual has been identified for which this reference sample is in this index, this specific DNA profile must be removed from this index.
  - **Convicted Offender:** The known sample from a person who has been convicted of a federal or state qualifying offense in a jurisdiction that requires that persons convicted of enumerated crimes or qualifying offenses provide a DNA sample for analysis and entry into a federal and/or state DNA database. The DNA profile for this specimen category is stored in the Convicted Offender Index.
  - **Deduced Missing Persons (Deduced Victim Known):** The DNA profile of a reported missing person that has been generated by examining intimate items purported to belong to the missing person, (such as a toothbrush), and compared to close biological relatives, if possible. Considered a reference sample, this DNA profile is stored in the Missing Person Index.
  - **Forensic Unknown:** A specimen category in the CODIS software that is stored in the Forensic Index and originates from a Forensic Sample (biological sample found at the scene of a crime).
  - **Juvenile:** The known sample from a juvenile (as that term is defined by the relevant jurisdiction) who is required by state law to provide a DNA sample for analysis and entry into a state DNA database.
  - **Legal:** The known reference sample from a person whose DNA sample is collected under applicable legal authorities, provided that DNA samples that are voluntarily submitted solely for elimination purposes shall not qualify as a Legal specimen. An example of a Legal specimen is a sample collected from a person found not guilty by reason of insanity who is required by the relevant state law to provide a DNA sample for analysis and entry into a state DNA database. The

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

DNA profile for this specimen category is stored in the Legal Index.

- **Maternal Relative:** The known reference sample voluntarily provided by a maternal biological relative who is not a mother, child or sibling of a reported missing person. The DNA profile for this specimen category is stored in the Relatives of Missing Person Index. Once the individual has been identified for which this reference sample is in this index, this specific DNA profile must be removed from this index.
- **Missing Person:** The known reference sample of an individual that is missing. The source of the DNA has been verified as originating from the missing person and is stored in the Missing Person Index.
- **Paternal Relative:** The known reference sample voluntarily provided by a paternal biological relative who is not a father, child or sibling of a reported missing person. The DNA profile for this specimen category is stored in the Relatives of Missing Person Index. Once the individual has been identified for which this reference sample is in this index, this specific DNA profile must be removed from this index.
- **Population Sample:** The sample of an anonymous individual or a sample that has had all personally identifiable information removed in order to be included in a population reference file for purposes of generating population frequencies.
- **Spouse:** The known reference sample voluntarily provided by a presumptive parent of a common child. The DNA profile for this specimen category is stored in the Spouse Index. Once the individual has been identified for which this reference sample is in this index, this specific DNA profile must be removed from this index.
- **Unidentified Person:** The DNA profile developed from the recovered deceased (including body parts and tissue) or an individual who is unidentified (e.g., children who can't and others who can't or refuse to identify themselves). The DNA profile for this specimen category is stored in the Unidentified Human (Remains) Index.

B Additionally, the following rules govern the uploading of DNA records to SDIS and NDIS:

- DNA profiles submitted to SDIS and NDIS shall be interpretable (interpretable – any DNA data that could be used to make an exclusion).

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

- A laboratory submitting a DNA profile to the Forensic Index at SDIS and NDIS that is derived from forensic evidence, shall only offer those alleles that are attributed to the putative perpetrator(s). Alleles derived from forensic profiles that are unambiguously attributed to a victim or individuals other than the perpetrator(s), such as, but not limited to, a husband or boyfriend shall not be offered to SDIS or NDIS.
- The DNA results from any locus in which an ambiguity exists in the assignment of one or more alleles to the putative perpetrator(s) may be offered to SDIS and NDIS. The mere observation of alleles that may be attributed to individuals other than the putative perpetrator does not in itself preclude offering DNA profiles to SDIS and NDIS at that locus.
- Forensic Mixture DNA profiles submitted to NDIS shall have no more than 4 alleles at a maximum of 4 core loci, any of the remaining up to 9 core loci shall have no more than 2 alleles at each locus. Forensic Mixture DNA profiles submitted to SDIS shall have no more than 4 alleles at a maximum of 4 core loci, any of the remaining up to 9 core loci shall have no more than 3 alleles at each locus.

C While state and local laboratories may store and maintain DNA records in CODIS at the local level that have been categorized as elimination specimens, suspects, and/or victims, those categories of DNA records **shall not** be uploaded for storage and maintenance to SDIS or NDIS. A laboratory's failure to comply with these authorized categories of DNA records at SDIS and NDIS may result in the suspension or termination of that laboratory's access to SDIS and NDIS in accordance with the DNA Identification Act of 1994.

**8.1.4 DNA Indexes at NDIS**

A In accordance with the DNA Identification Act of 1994, as amended, acceptable DNA profiles and records will be stored and maintained in the following indexes and files at SDIS and NDIS:

- **Arrestee Index:** An Arrestee Index consists of DNA records of persons who have been arrested or indicted or charged in an information with a crime and are required by law to provide DNA samples.
- **Convicted Offender Index:** A Convicted Offender Index consists of DNA records from offenders convicted of qualifying state crimes, juveniles required by the relevant jurisdiction to provide DNA samples, and/or federal crimes.

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

- **Forensic Index:** The Forensic Index consists of DNA profiles originating from and associated with evidence found at crime scenes. For example, evidence associated with a crime scene includes DNA that may be carried away from a crime scene. This includes forensic mixtures at the national level.
- **Legal Index:** A Legal Index consists of DNA records of persons whose DNA samples are collected under applicable legal authorities.
- **Population Index:** The Population Index consists of DNA profiles intended to represent various population segments from designated geographical regions. Population frequencies may be generated from the Population Index and applied to the interpretation of forensic DNA analyses.
- **Relatives of Missing Person Index:** The Relatives of Missing Person Index consists of DNA records from the biological relatives of individuals reported missing.
- **Spouse Index:** A Spouse Index consists of the DNA records of presumptive parents of a common child of a missing person.
- **Unidentified Human (Remains) Index:** The Unidentified Human (Remains) Index consists of DNA records from recovered living persons (e.g., children who can't and others who can't or refuse to identify themselves), recovered dead persons (including their body parts and tissues) whose identities are not known.
- **Missing Person Index:** The Missing Person Index consists of DNA records from missing persons and deduced missing persons.

**8.1.5 Annual DNA Records Acceptable at NDIS Training for CODIS Users**

- A On an annual basis, in accordance with a schedule determined by the NDIS Custodian, the CODIS Administrator shall ensure that each CODIS state and local user (government employees who: (1) have login access to the CODIS system and are authorized to read, add, modify and delete DNA records in CODIS: or (2) are qualified DNA analysts who are responsible for producing the DNA profiles stored in NDIS) successfully completes the annual web-based DNA Records Acceptable at NDIS training.
- CODIS contract users are not authorized to read, add, modify or delete DNA records in CODIS and therefore are not required to complete this annual training. CODIS IT users are not authorized to add, modify or delete DNA records in CODIS and therefore are not required to complete this annual training.

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

- B The CODIS Administrator shall then have each CODIS User confirm they have received their annual training by printing a certificate of completion for the training.
- C Certificates of completion for the training shall be filed and maintained by the State and Local CODIS Administrators and available for inspection upon the request of the FBI.
- D The NDIS Custodian shall establish a schedule for completion of the annual DNA Records Acceptable at NDIS training. CODIS users shall have a period of thirty business days to complete the annual training. After the expiration of the thirty day period, the NDIS Custodian shall notify NDIS participating laboratories of the CODIS users in their laboratories who have not completed the annual training. These CODIS users shall successfully complete the required annual training according to a schedule established by the NDIS Custodian. Any CODIS user who has not successfully completed the required annual in accordance with this schedule shall be denied access to enter DNA data to CODIS by assignment of a stop date for their CODIS user privileges.

**8.2 DNA Data Acceptance Standards**

8.2.1 **Purpose:** The purpose of this document is to define the data acceptance standards for DNA profiles to be accepted at SDIS and NDIS.

**8.2.2 Background**

- A To ensure the reliability, accuracy and compatibility of DNA data uploaded to SDIS and NDIS, the FBI Laboratory developed data acceptance standards governing the various types of DNA technologies that are used in forensic DNA laboratories. Previous versions of this document entitled "*NDIS Standards for Acceptance of DNA Data*," covered DNA data generated by Restriction Fragment Length Polymorphism (RFLP) and for Polymerase Chain Reaction (PCR) based methods.
- B SDIS and NDIS shall accept a DNA profile after it is determined to be compliant with the DNA Data Acceptance Standards in effect at the time the DNA profile was generated or compliant with the standards that are in place at the time the DNA profile is offered.

**8.2.3 Quality Assurance Standards:**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

- A All DNA profiles offered to SDIS and NDIS by the NDIS participating laboratories shall be produced in accordance with the FBI Director's Quality Assurance Standards, as required by the DNA Identification Act of 1994, as amended. Compliance with the FBI Director's Quality Assurance Standards shall be demonstrated by completion of an external quality assurance audit that includes a review of the STR and/or mtDNA analysis of forensic casework, missing persons-related cases and/or databasing samples. DNA profiles generated between the external quality assurance audit and the successful completion of the NDIS Audit Review process in accordance with the NDIS Procedures "Review of External Audits," shall, subject to the approval of the NDIS Custodian, be eligible for upload to NDIS.
- B The *Quality Assurance Standards for Forensic DNA Testing Laboratories* were approved by the Director of the FBI and became effective October 1, 1998. The *Quality Assurance Standards for Convicted Offender DNA Databasing Laboratories*, also approved by the Director of the FBI, became effective April 1, 1999. These Quality Assurance Standards supersede the quality assurance guidelines adopted by the Technical Working Group on DNA Analysis Methods or TWGDAM, entitled "*Guidelines for a Quality Assurance Program for DNA Analysis*" (known as the TWGDAM Guidelines).

**8.2.4 Standards for PCR DNA Data**

- A **Protocols for PCR – PCR DNA Controls, allelic ladders and primer sets that were validated together shall be used together.**
- The laboratory shall demonstrate that it continues to use a protocol that produces NDIS compatible DNA results by its application of a positive PCR DNA Control that has been appropriately validated.
  - All DNA profiles offered to SDIS and NDIS must be associated with an accurate result for PCR DNA Controls.
  - Only DNA profiles derived for analysis of NDIS Accepted PCR kits, listed in Table 2 of the DNA Data Acceptance Standards in the NDIS Procedures Manual, shall be accepted at SDIS and NDIS.
- B **Changes to the PCR Protocols**
- Any significant changes made to a protocol must be demonstrated to be non-detrimental to the PCR results, as indicated by appropriate PCR DNA Control results.

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

- The use of a protocol that does not achieve the correct results for the PCR DNA Controls shall be discontinued.
- At the request of NDIS, a laboratory shall demonstrate the reliability of data generated by the proposed protocol.

**C Allelic Ladders**

- The allelic ladders used must be from the list of NDIS Accepted PCR kits, listed in Table 4 of the DNA Data Acceptance Standards in the NDIS Procedures Manual.
- The allelic ladders used for each locus must give NDIS compatible results, as demonstrated by the PCR DNA Controls.
- At each locus, the allelic ladder should have the commonly occurring alleles of the repeat element.
- An NDIS Accepted Allelic ladder must be associated with each sample set.

**D Interpretation of DNA Profiles**

- DNA profiles submitted to SDIS and NDIS shall be interpretable (interpretable – any DNA data that could be used to make an exclusion).
- A laboratory submitting a DNA profile to the Forensic Index at SDIS and NDIS that is derived from forensic evidence, shall only offer those alleles that are attributed to the putative perpetrator(s). Alleles derived from forensic profiles that are unambiguously attributed to a victim or individuals other than the perpetrator(s), such as, but not limited to a husband or boyfriend, shall not be offered to SDIS and/or NDIS.
- The DNA results from any locus in which an ambiguity exists in the assignment of one or more alleles to the putative perpetrator(s) may be offered to SDIS and/or NDIS. The mere observation of alleles that may be attributed to individuals other than the putative perpetrator, does not in itself, preclude offering DNA profiles to SDIS and/or NDIS at that locus.
- Forensic mixture DNA profiles submitted to NDIS shall have no more than four alleles at a maximum of four loci with the other loci having no more than two alleles.

**E Acceptable PCR Loci**

- The searching of PCR profiles in NDIS and SDIS derived from offender samples, forensic samples, unidentified human

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

“remains”, relatives of missing persons, missing persons, and population samples require conclusive results from a minimum number of specific loci/systems. DNA profiles which fail to include these loci, at a minimum, shall not be autosearched by SDIS or NDIS. Additional loci listed in Table 1 of the DNA Data Acceptance Standards in the NDIS Procedures Manual as acceptable shall be accepted for DNA profiles containing the required minimum number of PCR loci.

- Table 1 of the DNA Data Acceptance Standards in the NDIS Procedures Manual constitutes all PCR loci from which results shall be accepted by NDIS. The absence of any particular locus from this table does not suggest the unsuitability of the locus for forensic application. The addition of new PCR loci shall be accepted by NDIS, upon approval by the NDIS Custodian.
- Applications for the addition of new loci to the Acceptable PCR Loci may be submitted to the NDIS Custodian by a criminal justice agency. The addition of new loci may be made by the NDIS Custodian only after data presented to NDIS demonstrates that the new loci have been appropriately validated including forensic and population studies, and provide NDIS comparable results. Please refer to Appendix A of the DNA Data Acceptance Standards in the NDIS Procedures Manual for the criteria used in determining and reviewing a request to add a new or modified PCR kit which can be used as a guide in preparing applications to add new loci.

**F Acceptable PCR Kits**

- Table 2 of the DNA Data Acceptance Standards in the NDIS Procedures Manual provides a list of the PCR kits accepted by SDIS and NDIS.
- The absence of a PCR kit from this table does not suggest the unsuitability of that particular PCR kit for forensic application.
- The addition of a PCR kit to this table or modification of an existing PCR kit shall be made only after data are presented that demonstrates that the new PCR kit generates NDIS compatible results, or the modification is justified. Criteria used in determining and reviewing a request to add a new or modified PCR kit are described in Appendix A of the DNA Data Acceptance Standards in the NDIS Procedures Manual. Applications for the approval of a new or modified PCR kit may be submitted by a criminal justice agency. Acceptance of PCR kits for use at NDIS is determined by the FBI.



**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08**G Format for Offering PCR Profiles to NDIS**

- The DNA results from each locus will be in the form p,q for heterozygotes and/or mixtures (in ascending order) and p,p for homozygotes.
- Alleles below or above the allelic ladder are entered as <(lowest allele) or >(highest allele), respectively.
- Alleles will be entered according to their relative base pair size even if they are between designated points on the allelic ladder.

**8.2.5 Standards for mtDNA Data****A Protocols for Mitochondrial DNA (mtDNA) Sequencing**

- Controls are required to assess analytical procedures and monitor the level of contamination. Each laboratory shall establish evaluation criteria for controls, including but not limited to, reagent blank controls, negative controls and positive controls. Each of these controls shall be processed through sequencing along with the sample.
  - Each DNA profile developed for mitochondrial DNA must be associated with an HL60 control sample. HL60 is used as a positive control. A mtDNA profile must be developed from the positive control, which has been carried from amplification through sequencing and interpretation. The length of the sequence to be uploaded cannot be greater than the length of the sequence obtained in the positive control. The hypervariable region I (HVI) and hypervariable region II (HVII) regions of the mtDNA from this cell line have been amplified and sequenced. The HL60 mtDNA HVI and HVII sequences, expressed as differences from the revised Cambridge Reference Sequence (rCRS), are provided in the following table.

Cell Line	HL60
HVI (16,024- 16,365)	16069T 16193T 16278T 16362C

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

Cell Line	HL60
HVII (73-340)	73G 150T 152C 263G 295T 315.1C

- Nucleotide sequences obtained from population database samples shall include a minimum of HVI (positions 16024-16365) and HVII (position 73-340). Nucleotide sequence from known (K) samples and Questioned (Q) samples shall include HVI and HVII positions. All sequences from known and questioned samples shall have no more than 1% ambiguity for submission to NDIS. Both strands of the amplified product shall be sequenced to reduce ambiguities in sequence determination with the understanding that sometimes in a homopolymeric stretch a readable sequence may not always be obtained from both strands.

**B Contamination Controls**

- Laboratories shall define and quantify contamination to determine the maximum allowable threshold for contamination.
- A positive control is a sample of known mtDNA sequence used to monitor the success of the analysis. The positive control shall be processed starting at amplification. For inclusion of mtDNA data in the National DNA Index System, or NDIS, the HL60 cell line shall be required as the positive control.
- Reagent blanks and negative controls shall be used to monitor levels of contamination. Reagent blanks monitor contamination from extraction to final sequence analysis. Negative controls monitor contamination from amplification to final sequence analysis. Both reagent blanks and negative controls are processed along with the sample.
  - If the reagent blank and/or negative control of a particular amplicon yields a sequence that is the same as that of the sample, the results from the amplicon shall be reamplified, resequenced, or rejected, as appropriate. After reamplification, resequencing or reinjection, if the reagent blank and/or negative control of a particular amplicon yields a sequence that is the same as that of the sample, the results from the amplicon shall be rejected. The analysis shall be repeated, starting with the extraction of the sample.

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

- If contamination in the reagent blank is present above the threshold established by the laboratory, then the generated sequence cannot be used for interpretative purposes and re-extraction or re-amplification is required.
- If contamination in the negative control is present above the threshold established by the laboratory, then the extract may be re-used. However, the sample cannot be used for interpretative purposes and re-amplification and/or re-extraction is required.

**C Interpretation of Results** – The laboratory shall establish criteria to assign nucleotide base calls to appropriate peaks or bands and to determine whether the results are of sufficient quality for interpretation purposes. The overall quality of the electropherogram data must be assessed. The results must be examined to determine if they meet the laboratory's analytical and interpretation threshold(s) established through internal validation studies. If the overall quality of the electropherogram is not suitable for analysis, the data should be rejected and the sample should be re-extracted, re-amplified, re-sequenced, and/or re-injected.

- A consensus sequence obtained from the sample will be compared to the revised Cambridge Reference Sequence (rCRS) described by Andrews (Andrews, et al. 1999). Differences between the reference sequence (rCRS) and the sample sequence shall be noted as polymorphisms. The nucleotide position and the DNA base difference from the reference shall be noted.
- DNA base call designation shall be based on the nomenclature system set forth by the International Union of Pure and Applied Chemistry (I.U.P.A.C). At confirmed positions of ambiguity the following I.U.P.A.C. codes can be used:

A/G = R

A/C/G/T = N\*

C/T = Y

\*N is used to denote an ambiguity in interpretation.

- Insertions are described by noting the site immediately five prime (5') to the insertion with respect to the light strand of the rCRS followed by a point and a "1" for the first inserted base and sequential numbering for each inserted base afterwards. For regions with length heteroplasmy, the insertion will be placed at the highest

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

numbered end of the region with respect to rCRS. Insertions should not alter subsequent numbering of the sequence. Variants from the rCRS shall be coded in accordance with the guidelines proposed by Wilson *et al.* 2002a and Wilson *et al.* 2002b.

- The only approved exception to the I.U.P.A.C. nomenclature is the use of a '-' for deletions.
- All relevant sequence files shall be imported into a software program for analysis and alignment. The heavy strand sequences shall be reverse-complemented so that the bases are aligned in the light strand orientation. Strands shall be compared and bases designated.
- Each laboratory shall define heteroplasmy within the operational limits of the system used for sequencing. Heteroplasmy is defined as more than one mtDNA type present in an individual that can be detected at an operational level.
  - Heteroplasmy can be observed as point heteroplasmy where two DNA bases are observed at the same nucleotide position.
  - Heteroplasmy can also be seen as length heteroplasmy, which typically is observed as a variation in the number of bases.
- Long stretches of the same nucleotide are referred to as homopolymeric tracts. In HVI the C-stretch region typically starts at nucleotide position 16184. HVII length heteroplasmy is found between nucleotide positions 303 to 315. In most cases, no attempt will be made to determine the exact number of bases in an HVI C-stretch. Rather, the cytosine residues will be cut at a particular location. However, laboratories shall develop their own guidelines for interpretation. A common length variant can usually be determined in the HVII homopolymeric tract. A length variant alone must not be used to support an interpretation of exclusion.

#### **8.2.6 Standards for an NDIS Participating Laboratory's Use of a Subcontractor for the Analysis of DNA Samples**

- A Any laboratory using a subcontractor for the analysis of DNA samples shall ensure that they and the subcontractor comply with the FBI Director's Quality Assurance Standards. In particular, all DNA data provided by the subcontractor must receive an appropriate technical review by the NDIS Participating Laboratory before being entered into CODIS. The DNA data entered into CODIS shall be considered the

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

property and responsibility of the NDIS Participating Laboratory that enters such data into CODIS.

- B** The NDIS Participating Laboratory shall require that the subcontractor certify its compliance with the FBI Director's Quality Assurance Standards. The NDIS Participating Laboratory shall be responsible for ensuring compliance with the quality assurance procedures and review requirements for the use of subcontractor generated DNA data.
- C** Quality Assurance Measures and Review of the DNA Data Generated by the Subcontractor
- The laboratory shall establish and use appropriate technical review and quality assurance procedures to verify the integrity of the data received from the subcontractor including, but not limited to, the following requirements:
    - Random reanalysis of offender samples;
    - Inclusion of QC samples for offender samples provided to the subcontractor;
    - The combination of offender samples included in the random reanalysis and QC samples shall be equal to a minimum of five percent (5%) of the total number of offender samples provided to the subcontractor;
    - A technical review that consists of a visual inspection and evaluation of one hundred percent (100%) of the data and results generated by the subcontractor that includes the following elements:
      - ⇒ A review of all DNA types to verify that they are supported by the raw and/or analyzed data (electropherograms or images).
      - ⇒ A review of all associated controls, internal lane standards and allelic ladders to verify that the expected results were obtained.
      - ⇒ A review of the final report (if provided) to verify that the results/conclusions are supported by the data. The report shall address each tested item (or its probative fractions) submitted to the vendor laboratory.
      - ⇒ A review and verification of the CMF file, DNA types, eligibility, and the correct specimen category for entry into CODIS. The review and verification of the CMF file can be satisfied by the laboratory's creation of its own CMF file in

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

accordance with the laboratory's protocols and procedures.

- Onsite visits. The laboratory may accept documentation of an onsite visit of the subcontractor conducted by an NDIS Participating Laboratory having similar analyses/contract criteria in satisfaction of this requirement.
- The individuals performing the technical review required shall meet the following criteria:
  - Is currently or was previously a qualified DNA analyst on the following:
    - ⇒ Platform (for example, capillary electrophoresis [ABI 310, ABI 3100, ABI 3130, ABI 3730], real time gel-based detection [ABI377], or end product gel-based detection [FM BIO]) used to generate the DNA data by the subcontractor laboratory;
    - ⇒ DNA typing kit(s) used to generate the DNA data by the subcontractor laboratory; and
    - ⇒ Allele interpretation software used to generate the DNA data by the subcontractor laboratory.
  - Is currently a CODIS User with login access;
  - Is currently an employee of the laboratory participating in NDIS.
  - Is current in semi-annual external proficiency testing on the platform, DNA typing kit and allele interpretation software used to generate the DNA data by the subcontractor laboratory.
- The laboratory shall develop, use and document a training program and the successful completion of a qualifying test for all technical review personnel.

**8.2.7 Interim Procedure for the Temporary Use of Contract Personnel to Perform the Technical Review of Offender DNA Data Generated by a Subcontractor** – see DNA Data Acceptance Standards 9.0 in the NDIS Procedures Manual.

**8.2.8 Standards for Expert Systems for the Review of Offender DNA Data** – see DNA Data Acceptance Standards 10.0 and Appendix B in the NDIS Procedures Manual.

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08**9 Missing Persons and Related DNA Data**

**9.1 Purpose:** The purpose of this document is to define additional responsibilities of participating laboratories for the reporting of DNA data relating to missing persons to submitting law enforcement agencies.

**9.2 Missing Persons Specimens Categories and Indexes:** In accordance with the DNA Identification Act of 1994, as amended, the following Specimen Categories and the applicable indexes relating to missing persons may be entered into the CODIS system for storage and searching in SDIS and NDIS.

**9.2.1 Specimen Categories**

A The following specimen categories are defined in Section 8.1.3:

- **Biological Child**
- **Biological Father**
- **Biological Mother**
- **Biological Sibling**
- **Deduced Missing Persons (Deduced Victim Known)**
- **Maternal Relative**
- **Missing Person**
- **Paternal Relative**
- **Spouse**
- **Unidentified Person**

**9.2.2 Indexes**

A The following indexes are defined in Section 8.1.4:

- **Relatives of Missing Person Index**
- **Unidentified Human (Remains)**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

- **Missing Person Index**
- **Spouse Index**

<b>Relatives of Missing Person Index</b>	<b>Spouse</b>	<b>Unidentified Human (Remains) Index</b>	<b>Missing Person</b>
Biological Child	Spouse	Unidentified Person	Deduced Missing Persons
Biological Father			Missing Person
Biological Mother			
Biological Sibling			
Maternal Relative			
Paternal Relative			

**9.3 Missing Persons NCIC Information****9.3.1 Reports to the National Crime Information Center (NCIC) Relating to Missing Persons**

- A In the event that an individual is reported as “missing” or human remains are unidentifiable and a report is taken and entered into NCIC by a law enforcement agency, then the report will contain specific information about the “missing person” or “unidentified remains” to assist law enforcement in locating and/or identifying the person. The law enforcement agency that entered the initial record of the “missing person” or “unidentified human remains” is the only agency permitted to add, delete or modify information in the NCIC record.
- B DNA profiles entered into CODIS Relatives of Missing Persons, Unidentified Human (Remains), or Missing Person Indexes should reference the record in the NCIC Missing Person File, whenever possible. For example, when a record is entered into NCIC, a unique 10 digit alphanumeric number, or NIC number, is generated. The NIC number is used to identify a specific NCIC record. NCIC missing persons records have a NIC number that begins with an “M”. NCIC unidentified persons records have a NIC number that begins with a “U”. Each of these is then followed by 9 numbers.
- C It is important to identify those NCIC missing and unidentified persons records with related DNA profiles for relatives or unidentified human remains in order to have the most complete information available for law enforcement.



**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08**9.3.2 Updating the DNA Profile Field in NCIC to reference DNA records in SDIS and NDIS**

A The DNA Profile Field must be either a Y or N. If Y is entered, then the DNA Location Field (DLO) should be filled out. A DNA Location Field is a free text field contained in the Missing Person and Unidentified Person Files. This DLO field should be modified to include the following DNA record information:

- Location of DNA sample
- ORI number assigned the laboratory that analyzed the DNA sample
- Type of DNA analysis performed such as STR, mtDNA
- Specimen Category as it pertains to the source of the DNA sample – biological mother, father, child, sibling, unidentified person, etc.
- CODIS Specimen ID number

If an N is entered in the DNA Profile Field, the DLO Field must be blank. At this point, the Miscellaneous or MIS Field in NCIC could be used to make any comments that are appropriate. The MIS Field is a free text field contained in the Missing Person and Unidentified Person Files.

B Since NCIC records may only be modified by the submitting law enforcement agency, the laboratory performing the DNA analysis must cause this information to be provided to the law enforcement agency upon confirmation of the DNA record being accepted at NDIS. Examples of notifications that can be forwarded to the submitting law enforcement agency are contained in Figure 9.1 and Figure 9.2.

**9.4 Submitting Missing Person Samples for Further Testing**

9.4.1 Samples submitted which fall under the three Missing Person Indexes should have mitochondrial testing done once nuclear STR testing has been completed or attempted.

9.4.2 The appropriate Sample Submission Guidelines should be followed.

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

(Agency Letterhead)

(Name and Address of Law Enforcement Agency)

(date)

Dear Law Enforcement Agency:

This is to inform you that a DNA profile(s) has been developed for the sample you submitted to the (Name of Laboratory and ORI number) which is associated with the National Crime Information Center (NCIC) record number (NCIC record number). The DNA profile(s) has been entered into the National DNA Index System (NDIS).

The following information is provided to you to assist in locating and identifying your missing or unidentified person. Please update the DNA Profile Field (DNA) of your NCIC missing person/unidentified person record and include the following information in the NCIC record's DNA Location Field (DLO):

- Location of DNA sample
- ORI number assigned the laboratory that analyzed the DNA sample
- Type of DNA analysis performed such as STR, mtDNA
- Specimen Category as it pertains to the source of the DNA sample – biological mother, father, child, sibling, unidentified person, etc.
- CODIS Specimen ID number

The sharing and coordination of data submitted to these two databases containing missing person-related information should assist future investigative activities. Please contact (Name of Contact Person and Laboratory) at (phone number) for more information about CODIS and NDIS. For specific NCIC-related questions, please refer to the NCIC Operating Manual or contact NCIC at (304) 625-3000.

Sincerely,

(Name)

(Title)

cc: State CODIS Administrator

**Figure 9.1 Sample Notification When DNA Profiles Generated**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

(Agency Letterhead)

*(Name and Address of Law Enforcement Agency)**(date)*

Dear Law Enforcement Agency:

This is to inform you that no DNA profile(s) was developed for the sample you submitted to the *(Name of Laboratory and ORI number)* which is associated with the National Crime Information Center (NCIC) record number *(NCIC record number)*.

Please update your NCIC missing person/unidentified person record by including the following information in the NCIC record's Miscellaneous Field (MIS):

- DNA sample submitted for analysis but unable to obtain a DNA profile

The sharing and coordination of data submitted to these two databases containing missing person-related information should assist future investigative activities. Please contact *(Name of Contact Person and Laboratory)* at *(phone number)* for more information about CODIS and NDIS. For specific NCIC-related questions, please refer to the NCIC Operating Manual or contact NCIC at (304) 625-3000.

Sincerely,

*(Name)**(Title)*

cc: State CODIS Administrator

**Figure 9.2 Sample Notification When DNA Sample Does Not Yield a Profile**

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08**10 Access to, and Disclosure of, DNA Data at NDIS and SDIS**

**10.1 Purpose:** The purpose of this document is to expressly delineate the access and disclosure requirements for the DNA data maintained in the NDIS/SDIS.

**10.2 Definitions:** For purposes of this procedure, the following terms shall have the following meaning:

10.2.1 "DNA analyses" as used in the DNA Identification Act shall refer to the DNA profiles comprising part of the DNA record.

10.2.2 "DNA data" shall refer to all the DNA records stored at NDIS/SDIS.

10.2.3 "DNA record" shall refer to the individual DNA record stored at NDIS/SDIS.

10.2.4 "DNA sample" shall refer to the body tissue or fluid sample that is subjected to DNA analysis.

**10.3 DNA Identification Act Limits Access to DNA Data in NDIS**

10.3.1 The DNA Identification Act of 1994 (as amended by the DNA Backlog Analysis Elimination Act of 2000) provides that the National DNA Index System "shall include only information on DNA identification records and DNA analyses that are maintained by federal, state, and local criminal justice agencies (or the Secretary of Defense in accordance with section 1565 of title 10, United States Code) pursuant to rules that allow disclosure of stored DNA samples and DNA analyses only—

- A to criminal justice agencies for law enforcement identification purposes;
- B in judicial proceedings, if otherwise admissible pursuant to applicable statutes or rules;
- C for criminal defense purposes, to a defendant, who shall have access to samples and analyses performed in connection with the case in which such defendant is charged; or
- D if personally identifiable information is removed, for a population statistics database, for identification research and protocol development purposes, or quality control purposes."

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

10.3.2 These access and disclosure requirements are applicable to NDIS Participating Laboratories by federal law and through the Memorandum of Understanding (MOU) for Participation in NDIS.

10.3.3 NDIS Participating Laboratories shall comply with the limited access and disclosure of DNA samples and DNA analyses required by the DNA Identification Act. While states may have DNA database laws that appear to permit more access to the DNA data, if that state is a participant in the National DNA Index System, the state has agreed to abide by and comply with, the more restrictive provisions contained in the DNA Identification Act by their signing of the NDIS MOU. For example, if a state DNA database law permits access to the DNA samples and analyses in the state DNA database for purposes not contained in the DNA Identification Act, and that state is an NDIS participant, then the state shall abide by the more restrictive federal disclosure rules.

10.3.4 NDIS Participating Laboratories shall also comply with their applicable state law concerning access to the DNA data in their state DNA database, especially if those provisions are more restrictive than the Federal DNA Identification Act.

**10.4 DNA Records Stored at NDIS/SDIS**

10.4.1 The National DNA Index System is a national database containing the DNA records of participating state and local criminal justice agencies. A DNA record that is stored in NDIS/SDIS includes the following information:

- A the DNA profile;
- B the NDIS Agency Identifier for the submitting agency (Laboratory ORI#);
- C the NDIS Specimen Identification Number; and
- D the name of the DNA personnel associated with/assigned to the DNA analysis.

10.4.2 No personally identifiable information relating to the donor, such as name, date of birth, social security number, or criminal history record number, is included in a DNA record stored at NDIS. No DNA samples are stored at NDIS.

10.5 **Access by Criminal Justice Agencies:** In accordance with the DNA Identification Act, direct disclosure of DNA records at NDIS are made to the federal, state, and local criminal justice agencies who participate in NDIS. This generally occurs when a

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

candidate match is identified through a search of the system and the target profile and another profile are provided to the agencies involved in the candidate match.

**10.6 Access by Defendant to DNA Data at NDIS**

10.6.1 In accordance with the DNA Identification Act, the defendant may have access to the DNA samples and analyses performed in connection with his or her case. A defendant may generally have access to the forensic evidence DNA samples and his/her exemplars under this provision of the DNA Identification Act. This provision of the DNA Identification Act extends to access to such DNA samples and exemplars in post-conviction cases.

10.6.2 A defendant is not entitled access to all of the DNA samples and DNA analyses under the provisions of the DNA Identification Act.

**10.7 Linkage of DNA Data with Criminal History Record Information Not Permitted**

10.7.1 In accordance with the limited access and disclosure provisions of the Federal DNA Identification Act of 1994 and the Privacy Act Notice on NDIS, no personally identifying information, including criminal history record information, shall be contained in the DNA record stored at NDIS.

10.7.2 To the extent consistent with state law, NDIS participating states, shall not link the DNA records contributed to NDIS with criminal history record information at the state level to ensure the confidentiality of these DNA records. States may include information in the criminal history record of an offender or arrestee that a DNA sample has been collected, analyzed and or databased to the extent permitted by their state law.

**10.8 Access by Persons Whose DNA Records are at NDIS/SDIS**

10.8.1 An individual may request access to his/her DNA record for the purpose of reviewing that record or challenging its accuracy or appropriateness for maintenance in NDIS. An individual making a request to review his/her DNA record to the FBI Freedom of Information Officer or NDIS Custodian will be referred to the NDIS Participating Laboratory that contributed the DNA record to NDIS.

10.8.2 An NDIS Participating Laboratory shall respond to requests for access to a DNA record generated by the laboratory by the subject of that record in accordance with state law. If a DNA record is found to be inaccurate, the NDIS Participating Laboratory shall either correct the inaccurate record or expunge the record, as appropriate.

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

10.8.3 The FBI shall respond to requests for access to FBI Laboratory-generated DNA records. If a DNA record is found to be inaccurate, the FBI Laboratory shall either correct the inaccurate record or expunge the record, as appropriate.

10.9 **Access by the Department of Justice Office of Inspector General for Audit Purposes:** Upon the request of the U.S. Department of Justice Office of Inspector General, the NDIS Custodian may release DNA data contained in NDIS for the purposes of auditing an NDIS Participating Laboratory. The DNA data disclosed to the OIG will only be used for determining the accuracy and acceptability of the DNA records contributed by the NDIS Participating Laboratory.

10.10 **Privacy Act Notice on NDIS:** Pursuant to the Federal Privacy Act, a notice shall be published in the Federal Register when a new system of records is established by a federal agency. The Privacy Act Notice on the National DNA Index System was published in the Federal Register on July 18, 1996. While the Privacy Act Notice does not have the effect of a federal law, it provides additional detail on the National DNA Index that is not contained in the DNA Identification Act. And because specific details and descriptions are contained in the Privacy Act Notice, NDIS Participating Laboratories should be familiar with this document. A copy of this document can be found in section 10, Appendix A, of the NDIS procedures manual.

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08**11 Terms and Abbreviations**

**Accreditation** – Formal recognition that a DNA laboratory is competent and meets or exceeds a list of standards, including the FBI Director's Quality Assurance Standards, to perform specific tests by a nonprofit professional association of persons actively involved in forensic science that is nationally recognized within the forensic science community.

**Accrediting Agencies** – A nonprofit professional association of persons actively involved in forensic science that is nationally recognized within the forensic science community in accordance with the provisions of the Justice for All Act of 2004.

**Allele** – In classical genetics, one of the alternate forms of the gene at a particular locus. In DNA analysis, the term allele is commonly extended to include DNA fragments of variable length and/or sequence which may have no known transcriptional product but are detected in a polymorphic system.

**Administrative Removal** – The deletion of a DNA record upon verification of the fact that the DNA record is not eligible for inclusion in SDIS and/or NDIS.

**Anderson Sequence** – *See* Cambridge Reference Sequence (CRS); the first reported nucleotide sequence of the entire human mitochondrial genome.

**Andrews Sequence** – *See* Revised Cambridge Reference Sequence (rCRS); revision of CRS.

**Applicable Legal Authorities** – A state law authorizing the collection of a DNA sample from a defined group of persons.

**Arrestee** – The known sample from a person who has been arrested and in accordance with the law of the applicable jurisdiction is required to provide a DNA sample for analysis and entry into a state DNA database. The term "arrestee" includes persons who have been charged in a formal criminal instrument, such as an indictment or an information.

**Arrestee Index** – An Arrestee Index consists of DNA records of persons who have been arrested or indicted or charged in an information with a crime and are required by law to provide DNA samples.

**AutoSearcher** – A CODIS program which automatically searches all DNA profiles in a user specified index against all profiles in one or more other user specified indexes.

**Biological Child** – The known reference sample voluntarily provided by an adult, child or provided with the parental/guardian consent for a minor child of a reported missing



**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

person. The DNA profile for this specimen category is stored in the Relatives of Missing Person Index.

**Biological Father** – The known reference sample voluntarily provided by the biological father of a reported missing person. The DNA profile for this specimen category is stored in the Relatives of Missing Person Index.

**Biological Mother** – The known reference sample voluntarily provided by the biological mother of a reported missing person. The DNA profile for this specimen category is stored in the Relatives of Missing Person Index.

**Biological Sibling** – The known reference sample voluntarily provided by the full or half biological adult sibling or provided with the parental/guardian consent of the full or half biological minor sibling of a reported missing person. The DNA profile for this specimen category is stored in the Relatives of Missing Person Index.

**Candidate Match** – A possible match between two or more DNA profiles discovered by CODIS software. Qualified DNA analysts must verify candidate matches.

**Casework Laboratory** – The forensic DNA laboratory responsible for a DNA profile developed from crime scene evidence.

**CJIS WAN** – The FBI's Criminal Justice Information Services Wide Area Network (CJIS WAN) that provides the communications network for the United States law enforcement community. Originally designed to support the Integrated Automated Fingerprint Identification System (IAFIS), the FBI is expanding the scope of CJIS WAN to include all federal, state and local crime laboratories participating in the National DNA Index System.

**CODIS** – The COmbined DNA Index System. CODIS links DNA evidence obtained from crime scenes, thereby identifying serial criminals. CODIS also compares crime scene evidence to DNA profiles obtained from convicted offenders, thereby providing investigators with the identity of the putative perpetrator. In addition, CODIS contains profiles from relatives of missing persons, unidentified human remains and anonymous DNA profiles for a population statistics file.

There are three levels of CODIS: the Local DNA Index System (LDIS), used by individual laboratories; the State DNA Index System (SDIS), used at the state level to serve as a state's DNA database containing DNA profiles from LDIS labs; and the National DNA Index System (NDIS), managed by the FBI as the nation's DNA database containing all DNA profiles uploaded by participating states.

**CODIS Comparisons** – Comparisons of one DNA record to another for the purpose of establishing an association between two specimens.

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

**CODIS Contract User** – An employee of a contract laboratory who meets the requirements of a qualified DNA analyst and is responsible for producing DNA profiles stored in NDIS but are not authorized to read, add, delete, or modify DNA records in CODIS. A CODIS Contract user does not fulfill the NDIS requirements for DNA data review and acceptance.

**CODIS Information Technology (IT) User** – A government employee of a NDIS participating laboratory who has login access to the CODIS system for computer hardware/software and telecommunications maintenance purposes but who are not authorized to add, modify, or delete DNA records in CODIS.

**CODIS User** – A government employee who: (1) has login access to the CODIS (i.e., state or local) system and is authorized to read, add, modify or delete DNA records in CODIS; or (2) qualified DNA analyst who is responsible for producing DNA profiles stored in NDIS.

**Contract Laboratory** – A laboratory, usually in the private sector, that charges a fee to perform DNA analyses for an NDIS participating laboratory.

**Control Region** – The portion of the mitochondrial genome situated between the tRNA<sup>pro</sup> and tRNA<sup>phe</sup> genes, between nucleotide positions 16,024 to 576, which is 1,222 base pairs in length. Both strands are not known to have any coding function.

**Convicted Offender** – The known sample from a person who has been convicted of a state qualifying offense in a jurisdiction that requires that persons convicted of enumerated crimes or qualifying offenses provide a DNA sample for analysis and entry into a state DNA database. The DNA profile for this specimen category is stored in a Convicted Offender Index.

**Convicted Offender Index** – A Convicted Offender Index consists of DNA records from offenders convicted of qualifying state crimes and juveniles required by the relevant jurisdiction to provide DNA samples.

**Conviction Match** – A Conviction Match occurs when CODIS matches a DNA profile developed from crime scene evidence to a DNA profile from a convicted offender, but the crime from which the evidence was collected has already been solved.

For intrastate matches, a Conviction Match is usually caused by the convicted offender's DNA profile matching against the evidence used to convict him/her.

For interstate matches, a Conviction Match usually indicates that the perpetrator has been convicted of a different crime in another state.

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

**Criminal Justice Agency** – A criminal justice agency is an agency or institution of the federal, state, or local government, other than the office of the public defender, which performs as part of its principal function, activities relating to the apprehension, investigation, prosecution, adjudication, incarceration, supervision or rehabilitation of criminal offenders. This also includes the Secretary of Defense with the amendment of the DNA Identification Act of 1994.

**CRS** – Cambridge Reference Sequence (CRS) is the standard sequence used in mitochondrial DNA typing to which other mitochondrial DNA types are compared. Mitochondrial DNA profiles are reported as differences from the standard reference sequence [Anderson, S., et al. Sequence and organization of the human mitochondrial genome. Nature 1981; 290:457-465].

**CTO** – Control Terminal Officer

**DAB** – DNA Advisory Board. A board in existence from March, 1995 through December, 2000, on DNA quality assurance methods. The board was appointed by the FBI Director in accordance with the DNA Identification Act of 1994.

**Deduced Missing Persons (Deduced Victim Known)** – The DNA profile of a reported missing person that has been generated by examining intimate items purported to belong to the missing person, (such as a toothbrush), and compared to close biological relatives, if possible. Considered a reference sample, this DNA profile is stored in the Missing Person Index.

**Designated State Official** – The person designated by a participating state to make decisions and to contract on behalf of the state.

**d-Loop** – See Control Region; a transitory structure of replication in mitochondrial DNA formed in the control region with a newly synthesized H strand of approximately 680 bases known as 7S DNA.

**DNA Analyst** – An individual who independently conducts and/or directs the analysis of samples and independently conducts the interpretation of data and determination of conclusions.

**DNA Identification Act** – DNA Identification Act of 1994; 42 U.S.C. 14132 as amended by the DNA Analysis Backlog Elimination Act of 2000, the Justice for All Act of 2004, and the DNA Fingerprint Act of 2005.

**DNA Profile** – A DNA profile consists of a set of DNA identification characteristics, which may permit the DNA of one person to be distinguishable from that of another person.

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

**DNA Record** – The DNA record includes the DNA profile as well as data required to manage and operate NDIS, i.e., the NDIS agency identifier which serves to identify the submitting agency; the NDIS Specimen Identification Number; information related to the reliability and maintainability of the DNA profiles; and names of the participating laboratories and DNA personnel associated with DNA profile analyses.

**Elimination Sample** – A biological sample from a known individual, other than the alleged perpetrator or victim, which is analyzed for purposes of identifying those portions of a forensic DNA profile attributable to the alleged perpetrator. The DNA profile for this specimen category may be stored at the state and/or local levels.

**Employee** – A person: (1) in the service of the applicable state or local government, subject to the terms, conditions, and rules of state/local employment and eligible for the state/local benefits of service such as participating in the state/local retirement system; or (2) formerly in the service of a state or local government who returns to service in that agency on a part-time or temporary basis but is not eligible for the state/local benefits of service.

**Expert System** – A software program or set of software programs that interprets the data generated from a DNA analysis instrument (or platform) in accordance with laboratory defined quality assurance rules and accurately identifies the data that does and does not satisfy such rules.

**Expungement** – The deletion of a DNA profile at the state and/or national index levels in response to the following: (1) a court order that has overturned a convicted offender's conviction for a qualifying offense; (2) a court order establishing that charges were dismissed or resulted in acquittal, or no charges were filed within the applicable time period.

**FBI** – The Federal Bureau of Investigation.

**Forensic Index** – A Forensic Index consists of DNA profiles originating from and associated with evidence found at crime scenes. For example, evidence associated with a crime scene includes DNA that may be carried away from the crime scene.

**Forensic Sample** – A biological sample originating from and associated with a crime scene. For example, a sample associated with a crime scene may include a sample that has been carried away from the crime scene.

**Forensic Unknown** – A specimen category in the CODIS software that is stored in the Forensic Index and originates from a Forensic Sample (biological sample found at the scene of a crime.)

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

**GDIS** – Generalized DNA Index System. GDIS refers to the software and database used for SDIS and NDIS.

**Haplotype** – A group of tightly linked polymorphisms that are inherited as a unit.

**Heteroplasmy** – The occurrence of more than one mitochondrial DNA profile (mitotype) arising from a particular tissue(s) within an individual; exhibiting more than one base at a particular nucleotide position.

**Homopolymeric Regions** (Also referred to as Homopolymeric Tracts) – The occurrence of variable lengths of the same nucleotide in a length of mtDNA (i.e. CCCCCC), these generally occur around the region of 16183-16193 in HVI and 303-309, 311-315 in HVII.

**Human DNA Control** – A specimen from a single human source analyzed concurrently with other DNA specimens. The patterns derived from the human DNA control are compared at local, state, and national CODIS levels with expected patterns to evaluate the acceptability of the results for inclusion in CODIS files.

**Hypervariable Region I (HVI)** – A segment of increased variability in the mitochondrial DNA control region; the common nucleotide positions used in forensic mtDNA typing are 16,024 to 16,365.

**Hypervariable Region II (HVII)** – A segment of increased variability in the mitochondrial DNA control region; the common nucleotide positions used in forensic mtDNA typing are 73 to 340.

**Indictment** – A formal written accusation originating with a prosecutor and issued by a grand jury against a party charged with a crime.

**Information** – A written accusation made by public prosecutor, without the intervention of a grand jury.

**Juvenile** – The known sample from a juvenile (as that term is defined by the relevant jurisdiction) who is required by state law to provide a DNA sample for analysis and entry into a state DNA database.

**Laboratory** – A government facility: (1) employing at least two full-time DNA analysts; and (2) having and maintaining the capability to perform the DNA analysis of forensic and/or convicted offender samples at that facility.

**LDAS** – The Local DNA Analysis System contains the detailed DNA records of a local DNA laboratory and other information not included in the CODIS indexes.

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

**LDIS** – The Local DNA Index System contains the DNA records for the laboratory. The appropriate records may be searched for DNA matches and inserted into higher levels (such as SDIS and/or NDIS).

**Legal** – The known reference sample from a person whose DNA sample is collected under applicable legal authorities, provided that DNA samples that are voluntarily submitted solely for elimination purposes shall not qualify as a Legal specimen. An example of a Legal specimen is a sample collected from a person found not guilty by reason of insanity who is required by the relevant state law to provide a DNA sample for analysis and entry into a state DNA database. The DNA profile for this specimen category is stored in a Legal Index.

**Legal Index** – A Legal Index consists of DNA records of persons whose DNA samples are collected under applicable legal authorities.

**Locus** – A specific location on a chromosome.

**Manual Keyboard Search** – A manual search of NDIS initiated by the NDIS or SDIS Custodian.

**Match** – A match occurs when CODIS makes an association between two or more DNA profiles and a confirmation is performed by a qualified DNA analyst from each affected laboratory.

**Match Stringency** – A match stringency is used to establish whether or not two DNA profiles are identified as matching. The CODIS software supports three match stringency levels: low, moderate, and high. Low stringency matches occur when one or more bands/alleles match between the target and candidate profiles at a given locus. Moderate stringency matches require all bands/alleles to match, but the target and candidate profiles can contain a different number of bands/alleles. That is, if the target profile has three bands/alleles and the sample profile has two, then two bands/alleles must match. High stringency matches require all bands/alleles to match.

**Match Report** – After CODIS determines that two or more DNA profiles match, an electronic report is generated by CODIS and automatically distributed to the laboratories responsible for the matching profiles.

**Maternal Relative** – The known reference sample voluntarily provided by a maternal biological relative who is not a mother, child or sibling of a reported missing person. The DNA profile for this specimen category is stored in the Relatives of Missing Person Index.

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

**Missing Person** – The known reference sample from an individual that is missing. The source of the DNA has been verified as originating from the missing person and is stored in the Missing Person Index.

**Missing Person Index** – A Missing Person Index consists of DNA records from missing persons and deduced missing persons.

**Mitochondrial DNA** – A small circular piece of DNA found outside the nucleus in most cells and generally involved in the production of energy of the body. It is inherited maternally.

**Mitotype** – A mitochondrial DNA profile consisting of a listing of nucleotide sequence differences from a standard reference sequence; typically the Cambridge Reference Sequence (CRS) or revised Cambridge Reference Sequence (rCRS). The mitotype will vary depending upon the length of the sequence detected.

**NCIC** – National Crime Information Center.

**NCIC DNA Profile Field (DNA)** – This field must be either a Y or N. If Y is entered, then the DLO Field must be filled in. If a N is entered, then the Miscellaneous Field should be filled in.

**NCIC DNA Location Field (DLO)** – A free text field containing alphabetic, numeric, and special characters explaining the location of the DNA sample, contact information, ORI, type of DNA sample available, and the CODIS number. If the DNA Field is N or defaults to N, then the DLO field must be blank.

**NCIC Miscellaneous Field (MIS)** – The designated free text field in NCIC where identifying information of the location where DNA profiles have been produced may be placed. This field should be used to enter information when a candidate DNA sample does not yield a DNA profile.

**NCIC Unidentified Person File** – The file in NCIC containing records for unidentified deceased persons; persons of any age who are living and unable to ascertain their identity; unidentified catastrophe victims; and body parts. For CODIS purposes, the DNA profile for unidentified persons in the Unidentified Human (Remains) Index is related to records in the NCIC Unidentified Person File.

**NDIS** – The National DNA Index System. NDIS is one component of CODIS – the national and highest level index containing the DNA records contributed from participating federal, state and local laboratories. NDIS is administered by the FBI in accordance with the provisions of the DNA Identification Act of 1994, as amended.

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

**NDIS Audit Review Panel** – A panel composed of federal, military, state and local personnel who are or have been qualified DNA examiners and have successfully completed the FBI's DNA auditor training program. Please refer to the NDIS Review of External Audits Procedure.

**NDIS Custodian** – The FBI employee(s) responsible for ensuring NDIS is operated in compliance with the DNA Identification Act, the Privacy Act, the NDIS Memorandum of Understanding between the FBI and participating laboratories, and all other relevant legislation/regulations.

**NDIS Participant or NDIS Participating Laboratory** – An NDIS Participant can be either the state that signs the NDIS Memorandum of Understanding or any one of the laboratories that the state enters into the NDIS system.

**NDIS Procedures Board** – A board, which may be composed of federal, military, state and local personnel, that has the responsibility of establishing, reviewing, and modifying the NDIS operational procedures.

**NIC Number** – The alphanumeric identifier for a specific NCIC record consisting of 10 characters (Position 1 = alpha, Position 2 through 10 = numeric).

**NIST** – National Institute of Standards and Technology

**Nuclear DNA** – Nuclear DNA is found in the nucleus of the cell. It is inherited from both the mother and the father.

**Nucleotide Position** – In mitochondrial DNA, the distance of a nucleotide base from the origin of replication numbered consecutively, from 1 to 16,569 in the revised Cambridge Reference Sequence (rCRS), clockwise around the genome.

**Nucleotide Sequence** – The ordered listing of nucleotide bases (I.U.P.A.C. bases including A, G, C, or T) occurring along a strand of DNA.

**Offender Laboratory** – The laboratory responsible to NDIS for a DNA profile developed from a sample provided by a known convicted offender.

**ORI** – ORiginating Agency Identifier

**PCR** – Polymerase Chain Reaction

**Paternal Relative** – The known reference sample voluntarily provided by a paternal biological relative who is not a father, child or sibling of a reported missing person. The DNA profile for this specimen category is stored in the Relatives of Missing Person Index.



**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

**Perpetrator** – The perpetrator is the individual who commits a crime(s). The identity of a perpetrator may or may not be known to the police.

**Personally Identifiable Information** – Information such as names dates of birth or social security numbers which are normally used to identify individuals. Personally identifiable information does not include information derived from the examination of a DNA sample.

**Polymorphism** – The condition of having or occurring in several different forms, and generally occurring in greater than 1% of the population.

**Population File** – A Population File consists of DNA profiles intended to represent various population segments from designated geographical regions. Population frequencies may be generated from the Population File and applied to the interpretation of forensic DNA analyses.

**Population Sample** – An anonymous sample or a sample that has had all personally identifiable information removed in order to be included in a population file for purposes of generating population frequencies.

**Proficiency Test** – Proficiency testing is a quality assurance measure used to monitor performance and identify areas in which improvement may be needed.

**Qualified DNA Analyst** – A DNA analyst who has satisfied and continues to satisfy the experience, education, training, proficiency testing and continuing education requirements of the FBI Director's Quality Assurance Standards (Standards 5 and 13), issued in accordance with the DNA Identification Act of 1994, as well as successful completion of a qualifying test prior to beginning casework or databasing responsibilities.

**Quality Assurance** – Those planned or systematic actions necessary to provide adequate confidence that a product or service will satisfy given requirements for quality.

**Quality Audit** – A systematic and independent examination and evaluation to determine whether quality activities and results comply with planned arrangements and whether these arrangements are implemented effectively and are suitable to achieve objectives.

**Quality Control** – The day-to-day operational techniques and the activities used to fulfill requirements of quality.

**Quality Plan** – A document setting out the specific quality practices, resources, and activities relevant to a particular product, process, service, contract, or project.

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

**Relatives of Missing Person Index** – A Relatives of Missing Person Index consists of DNA records from the biological relatives of individuals reported missing.

**Remote Search** – The comparison of a single DNA profile of interest or a set of profiles of interest (the target profiles) from one laboratory to all current DNA profiles (candidate profiles) contained in an existing DNA database at a second laboratory. Unlike autosearches, remote searches are not executed automatically, action is required by the system administrator at the second laboratory to honor the search request from the first laboratory.

**Revised Cambridge Reference Sequence (rCRS)** – A revision of the standard sequence (CRS) used in mitochondrial DNA typing [Andrews, R.M., et al. Reanalysis and revision of the Cambridge reference sequence for human mitochondrial DNA. Nature Genetics 1999; 23:147]

**SDIS** – The State DNA Index System contains the state-level DNA records for searching by local DNA laboratories within the state. SDIS is the state's repository of DNA identification records and is under control of state authorities. SDIS typically serves as the central point of contact for access to NDIS.

**Specimen** – The biological sample that is the object of DNA analysis for purposes related to forensic identification or statistical population sampling.

**Specimen Category** – A classification used for specimens as it pertains to the source of a DNA sample (e.g., biological mother, father, sibling, unidentified person, etc.). Specimen Type is used interchangeably with Specimen Category.

**Spouse** – The known reference sample voluntarily provided by a presumptive parent of a common child. The DNA profile for this specimen category is stored in the Spouse Index. Once the individual has been identified for which this reference sample is in this index, this specific DNA profile must be removed from this index.

**Spouse Index** – A Spouse Index consists of the DNA records of presumptive parents of a common child of a missing person.

**SRM** – Standard Reference Material is DNA of known properties available for analytical calibration purposes.

**State** – References in the NDIS Procedures to state include all states, the federal government, the military, all federal possessions and territories, and the District of Columbia.

**STR** – Short Tandem Repeat

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08

**Submitting Law Enforcement Agency** – The criminal justice agency that submitted evidence to a state or local laboratory conducting forensic DNA analysis. The Submitting Agency is responsible for investigating crimes.

**Suspect** – An individual whose identity is known to the police and who is suspected to be the perpetrator of a crime.

**SWGDM** – Scientific Working Group on DNA Analysis Methods (previously known as the Technical Working Group on DNA Analysis Methods).

**Target DNA Profile** – DNA profile submitted by a criminal justice agency for the purpose of searching DNA profiles maintained by NDIS which could match an indexed DNA profile.

**TWGDAM** – Technical Working Group on DNA Analysis Methods (now known as the Scientific Working Group on DNA Analysis Methods).

**TWGDAM Guidelines** – A document prepared by the Technical Working Group on DNA Analysis Methods entitled Guidelines for a Quality Assurance Program for DNA Analysis, published in the Crime Laboratory Digest (Vol. 22, No. 2, April 1995).

**Unidentified Person** – The DNA profile developed from the recovered deceased (including body parts and tissue) or an individual who is unidentified (e.g., children who can't and others who can't or refuse to identify themselves). The DNA profile for this specimen category is stored in the Unidentified Human (Remains) Index.

**Unidentified Human (Remains) Index** – The Unidentified Human (Remains) Index consists of DNA records from recovered living persons (e.g., children who can't and other who can't or refuse to identify themselves) and recovered dead persons (including their body parts and tissues) whose identities are not known.

**CODIS PROCEDURES MANUAL - CPM2008.1**Originally Adopted: 10/15/98  
as CODIS Procedures ManualIssuing Authority:  
Todd A. Griffith, SuperintendentRevision #: 14  
Effective Date: 4/4/08**12 Revision History**

## REVISION HISTORY OF CODIS PROCEDURES MANUAL

Sections Revised	Date	Issuing Authority
Reformat of existing document		Todd A. Griffith
Revision (CPM2007.1). Corrected all spelling, grammatical and formatting errors found. The wording "Designated State Official" was replaced with "State CODIS Administrator" where applicable. Added changes regarding CODIS IT Users to all applicable sections. Added changes to the CODIS Users section regarding naturalized citizens and registered aliens. Added technical review requirement of all data entered or searched in CODIS to applicable sections. Added D2S1338, D19S5433, and Amelogenin to appropriate tables in Searches section. Added reference to One Time Offender Search in Searches section.	08/24/07	Todd A. Griffith
Revision (CPM2008.1). Corrected all spelling, grammatical and formatting errors found. Updated header/footer and revision history table. Added changes reflecting the new Arrestee law in all applicable sections. Made minor changes to Laboratories and CODIS Users sections to reflect updated NDIS procedures. Removed the word "core" in regards to YSTR loci in the Specimen Management and Searches sections. Added wording on suspect matches and hit disposition reporting in Searches section. Made all changes regarding new annual DNA Records Acceptable at NDIS training to applicable sections. Added section on use of a subcontractor for analysis of DNA samples. Made wording and minor corrections to the Standards for mtDNA Data section of Data Acceptance. Added section "Standards for an NDIS Participating Laboratory's Use of a Subcontractor for the Analysis of DNA Samples".	04/04/08	Todd A. Griffith